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HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, D.C., 9 February 1982

1 - June 82
JCB

Immediate Action
INTERIM CHANGE

3

AR 672-20
INTERIM CHANGE
NO. 101
Expires 9 February 1983

DECORATIONS, AWARDS, AND HONORS

INCENTIVE AWARDS

This interim change is forwarded to the field to comply with the requirement of the Civil Service Reform Act of 1978 (Public Law 95-454) and Part 451 of the regulations of the Office of Personnel Management. This change expires 1 year from date of publication and will be destroyed at that time unless sooner superseded by a formal printed change. It is being distributed by 1st class mail through the publications pinpoint distribution system to all holders of AR 672-20; is, as an interim measure, issued in other than page-for-page format.

Chapters 5 and 6 are superseded as follows:

CHAPTER 5

SUSTAINED SUPERIOR PERFORMANCE AWARDS

5-1. General. A Sustained Superior Performance Award (SSPA) consists of a monetary award and a Commendation Certificate, DA Form 2443, given in recognition of high level performance significantly above that ordinarily found in the concerned position.

5-2. Eligibility requirements. a. All Wage Grade (WG), and General Schedule (GS) employees are eligible for the Sustained Superior Performance Award.

b. The high level performance must cover a total of not less than 12 months performance of the same or substantially the same duties.

c. Performance must exceed the minimum requirements for a Fully Successful performance rating.

5-3. Nominating procedures. a. The employee's immediate supervisor is responsible for initiating the nomination on DA form 1256.

b. Documentation for the SSPA will consist of the following:

(1) A current (within 60 days) Exceptional, Highly Successful or Fully Successful performance appraisal covering a 12 month period; or

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9 February 1982

(2) Justification which documents applicable performance rated at the levels listed in (1) above, and a copy of employee's most recent performance appraisal.

c. Local processing will be consistent with (1) and (2) above and with guidance in FPM Chapter 451, Incentive Awards.

5-4. Approval authority. Commanders should delegate approval authority to the level where comparable authority lies for significant personnel management actions and effective control can be exercised.

5-5. Amount of Award. a. Cash awards will be computed as a percentage of payable salary. Such awards will be directly related to performance. The following guidance is provided for relating amounts of awards to adjectival ratings:

- (1) up to 5% - exceeds minimum requirements for Fully Successful.
- (2) up to 10% - at least Highly Successful
- (3) up to 15% - Exceptional

b. Commanders may modify above monetary scales to meet mission/budgetary needs. Under no circumstances will the maximum 15% of payable base salary be exceeded. Award percentages will be calculated upon payable "rate of basic pay" rather than the scheduled rate established for employees.

5-6. Program guidance. a. Employees will not automatically be nominated for cash performance awards based on their performance appraisals. Performance awards are discretionary and should be used only as an incentive to stimulate future high level performance of the awardee and his/her peers.

b. Repetitive cash awards should be avoided. In order for an employee to receive consecutive cash awards, documentation is required which clearly shows how the performance differs from the performance which was used to justify the previous cash award.

c. Nominations should be submitted within 30 calendar days after completion of the period of service to be recognized. Final action should be completed within 30 days thereafter.

d. Employees should be nominated solely on the basis of individual performance which meets the established criteria.

e. Employees should not be informed that they are under consideration for, or have been nominated for an SSPA. Such actions may create serious morale problems if the nominations are not eventually approved.

f. The Special Act or Service Award, rather than the Quality Step Increase or Sustained Superior Performance Award, is used to recognize special one-time individual contributions or short periods of superior service or performance.

g. Nominations for SSPA are not appropriate when solely prompted by the impending departure of a supervisor or an employee or when solely prompted by the fact that the employee is currently at a pay rate subject to legal limitation (pay cap) or when an employee:

- (1) Is about to receive, or just received a promotion;
- (2) Has not performed the same or substantially the same duties for the required period of time; or
- (3) Has received a previous monetary award based in whole or in part on the period of service currently being recommended for recognition.

CHAPTER 6

QUALITY STEP INCREASES

6-1. General. A Quality Step Increase (QSI) consists of an additional within-grade pay increase and a Commendation Certificate, DA Form 2443, given in recognition of high quality performance significantly above that ordinarily required to accomplish the duties of the concerned position.

6-2. Eligibility requirements. a. Employees in all GS grades are eligible to receive the QSI.

b. The high quality performance must cover a total of not less than 12 months performance of the same or substantially the same duties.

c. Performance must exceed performance standards (other than absolute standards) for all major job elements and must be of such quality that it could only be achieved by the most exceptional employee.

6-3. Nominating procedures. a. The employee's immediate supervisor is responsible for initiating the nomination on DA Form 1256.

b. Documentation for the QSI will include the following:

(1) A current (within 60 days) Exceptional performance appraisal covering a 12 month period, or justification which documents performance required in 6-2c above, along with a copy of the employee's most recent performance appraisal;

(2) A statement by the nominating supervisor certifying that, based on past experience, the high level performance of the nominee is likely to continue.

c. Local processing will be consistent with the above and with guidance in FPM Chapter 451.

6-4. Approval authority. Commanders should delegate approval authority to the level where comparable authority lies for significant personnel management actions and effective control can be exercised

9 February 1982

6-5. Program guidance. a. Nominations should be submitted within 30 calendar days after completion of the period of service to be recognized. Final action should be taken within 30 days thereafter. The total elapsed time between submission and final action should not exceed 60 days from the date of completion of the period of service to be recognized.

b. Employees should be nominated solely on the basis of individual performance which meets the established criteria. Nominations are not appropriate when the moving force is the impending departure of the employee or the supervisor.

c. Since the employee continues to enjoy the benefits from a QSI for many years, continuation of the high quality performance will not form the basis for a subsequent QSI while the employee is in the same position. If the employee continues to perform at the same high level for an extended period of time e.g., 3 years or more, or at a significantly higher level, the supervisor may nominate the employee for a Sustained Superior Performance Award, or consider the employee for an honorary award.

d. Employees should not be informed that they are under consideration for or have been nominated for a QSI. Such actions may create serious morale problems if the nominations are not approved.

e. The Special Act or Service Award, rather than the QSI or Sustained Superior Performance Award, is used to recognize special one time individual contributions or short periods of superior service or performance.

f. A QSI may not be granted unless, at the time it becomes effective, the employee is expected to remain at least 60 days in the same or similar position at the same grade level.

g. Although otherwise merited a QSI is not appropriate when the employee --

(1) Is nearing retirement;

(2) Is transferring to another position within or outside the agency;

(3) Is about to receive, or just received a promotion (other than as a result of a classification action);

(4) Has not performed the same or substantially the same duties for the required period of time;

(5) Has received a previous monetary award based in whole or in part on the period of service currently being recommended for recognition.

h. The QSI will not change the effective date of the employee's normal within-grade pay increase; however, if a QSI places an employee in the fourth or seventh step of a grade, the waiting period for a regular within-grade increase is extended by 52 weeks under the graduated waiting-period schedule prescribed by section 5335(a) of title 5, United States Code.

9 February 1982

IO1, AR 672-20

(DAPE-CPL)

By Order of the Secretary of the Army:

Official:

E. C. MEYER
General, United States Army
Chief of Staff

ROBERT M. JOYCE
Brigadier General, United States Army
The Adjutant General

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S/S Ch 4 15 Mar 80 [Signature]

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, D.C., 17 October 1979

Immediate Action
INTERIM CHANGE

AR 672-20
INTERIM CHANGE
NO. 102
Expires 17 October 1980

DECORATIONS AND AWARDS
INCENTIVE AWARDS

This interim change is forwarded to the field to permit major commanders to redelegate approval authority for the Meritorious Civilian Service Award. This change expires one year from date of publication and will be destroyed at that time unless sooner superseded by a formal printed change. It is being distributed by 1st class mail through the publications pinpoint distribution system to all holders of AR 672-20; is, as an interim measure, issued in other than page-for-page format; and will be included in Change 4, AR 672-20.

Page 8-2, paragraph 8-4a, line 6 is changed as follows:

Add the following statements after the word "commander." Major commanders may redelegate approval authority for this award to any Commander of the rank of Major General or above who heads a subordinate command, activity, or installation which has a sufficient number of employees in positions where, based on past experience, outstanding achievements of the nature described in paragraph 8-4b, below, may be expected. A post audit review will be maintained to assure that criteria are met.

(DAPE-CPL)

BY ORDER OF THE SECRETARY OF THE ARMY:

E. C. MEYER
General, United States Army
Chief of Staff

Official:

J. C. PENNINGTON
Major General, United States Army
The Adjutant General

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HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, D.C., 22 December 1978

Immediate Action
INTERIM CHANGE

AR 672-20
INTERIM CHANGE
NO. IO1
EXPIRES 22 December 1979

DECORATIONS AND AWARDS
INCENTIVE AWARDS

This interim change is forwarded to the field to comply with the requirements of DOD Instruction 5120.16, Department of Defense Incentive Awards Program: Policies and Standards, dated July 15, 1974, as amended and to authorize an increase in cash awards paid for inventions. This change expires 1 year from date of publication and will be destroyed at that time unless sooner superseded by a formal printed change. It is being distributed by 1st class mail through the publications pin point distribution system to all holders of AR 672-20; is as an interim measure, issued in other than page-for-page format; and will be included in change 4, AR 672-20.

Page 2-3, third sentence, paragraph 2-7a(3), is changed as follows:

Delete the sentence "Overhead or indirect costs and related payroll costs, such as Government contributions for retirement, social security, health, and life insurance, will not be included in computation as savings." Substitute therefor the sentences "Labor costs used in calculating costs of installation and/or man-hour savings should be based on actual costs, where available, or on a cost finding basis using average cost center labor rates. All labor rates will include leave and other personnel benefit costs as prescribed for civilian and military personnel in DOD Handbook 7220.9-H. See Figure 2-2. This change is effective for cash awards paid on or after 1 October 1978 from Fiscal Year 1979 funds."

Page 3-1, paragraph 3-3 and page 3-2, paragraph 3-3f(3), wherever it reads \$50 change to \$100 and wherever it reads \$100 change to \$300.

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Figure 2-2

Civilian and Military Personnel Salary Rate Computations

1. Reimbursable work or services performed by DOD civilian personnel will be computed on the basis of actual direct time worked priced at 129 per cent of the base pay rate. Where groups of individuals are involved whose pay rates are more or less homogeneous, group average base pay rates may be used in lieu of individual base pay rates. The 29 per cent acceleration rate consists of a 20 per cent acceleration rate to cover standard leave and holiday costs to the financing appropriation and a 9 per cent acceleration rate to cover the costs to the financing appropriation of other employee benefits such as retirement and health benefits. Refer to the U.S. Civil Service Commission Salary Table which becomes effective in October of each year for civilian personnel.

2. Reimbursable services of military personnel will be computed on the basis of detailed time or actual direct time worked, as applicable at the composite standard rates which provide for the basic pay, incentive and special pay, and certain expenses and allowances included in the active forces Military Personnel appropriations. Refer to the annual composite standard rates table which becomes effective in October of each year for military personnel.

(DAPE-CPL)

By Order of the Secretary of the Army:

Official:

BERNARD W. ROGERS
General, United States Army
Chief of Staff

J. C. PENNINGTON
Brigadier General, United States Army
The Adjutant General

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ARMY REGULATION }
No. 672-20

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 15 March 1980

**DECORATIONS AND AWARDS
INCENTIVE AWARDS**

Effective 15 April 1980

This change delegates approval authority for cash awards up to \$10,000 to major commanders, revises the method for computing savings to determine cash awards for adopted suggestions which result in tangible benefits, authorizes an increase in cash awards paid for inventions, and re-delegates approval authority for the Meritorious Civilian Service Award to any commander of the rank of Major General or above who heads a subordinate command, activity, or installation which has a sufficient number of employees in positions where outstanding achievements, as described in chapter 8-4b, may be expected.

Interim changes to this regulation are not official unless they are authenticated by The Adjutant General. Users will destroy interim changes on their expiration date unless sooner superseded or rescinded.

AR 672-20, 28 July 1975, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages and insert new pages as indicated below:

<i>Remove Pages</i>	<i>Insert Pages</i>
2-1 through 2-6	2-1 through 2-5
3-1 and 3-2	3-1 and 3-2
4-1 and 4-2	4-1 and 4-2
8-1 and 8-2	8-1 through 8-3

3. File this change sheet in front of the publication for reference purposes.

The proponent agency of this regulation is the Office of the Deputy Chief of Staff for Personnel. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA(DAPE-CPL) WASH DC 20310.

**This change supersedes interim changes I01, 22 December 1978, and I02, 17 October 1979.*

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15 March 1980

C 4 AR 672-20

By Order of the Secretary of the Army:

E. C. MEYER
General, United States Army
Chief of Staff

Official:

J. C. PENNINGTON
Major General, United States Army
The Adjutant General

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CHANGE }
No. 3 }

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON DC 15 August 1978

DECORATIONS AND AWARDS

INCENTIVE AWARDS

Effective 15 August 1978

This change authorizes the establishment of DA Form 4689, Commander's Award for Civilian Service, and provides guidance on eligibility for receiving the certificate along with instructions on its preparation, authentication, and presentation.

AR 672-20, 28 July 1975, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages and insert new pages as indicated below:

<i>Remove pages</i>	<i>Insert pages</i>
i and ii	i and ii
1-1 and 1-2	1-1 and 1-2
8-3 and 8-4	8-3 thru 8-4.1
12-1	12-1

3. File this change sheet in front of the publication for reference purposes.

The proponent agency of this regulation is the Office of the Deputy Chief of Staff for Personnel. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAPE-CPL), WASH DC 20310.

By Order of the Secretary of the Army:

BERNARD W. ROGERS
General, United States Army
Chief of Staff

Official:

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CHANGE }
No. 2 }

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 22 July 1977

DECORATIONS AND AWARDS
INCENTIVE AWARDS

Effective 1 September 1977

This change authorizes the establishment of DA Form 4592, Department of the Army Promotion Certificate, and provides guidance on eligibility for receiving the certificate along with instructions on its preparation, authentication and presentation.

AR 672-20, 28 July 1975, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages and insert new pages as indicated below

<i>Remove pages</i>	<i>Insert pages</i>
1 and 11	1 and 11
2-1 and 2-2	2-1 and 2-2
8-5 and 8-6	8-5 and 8-6
12-1	12-

3. File this change sheet in front of the publication for reference purposes.

The proponent agency of this regulation is the Office of the Deputy Chief of Staff for Personnel. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAPE-CPL) WASH, DC 20310.

By Order of the Secretary of the Army:

BERNARD W. ROGERS
General, United States Army
Chief of Staff

Official: PAUL T. SMITH
Major General, United States Army
The Adjutant General

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*This change supersedes Change 1, 27 August 1975.

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ARMY REGULATION
No. 672-20

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 28 July 1975

DECORATIONS AND AWARDS

INCENTIVE AWARDS

Effective 1 September 1975

This is a complete revision to provide current instructions for the proper administration of the Incentive Awards Program. Local limited supplementation of this regulation is permitted, but is not required. If supplements are issued, Army Staff agencies and major Army commands will furnish one copy of each to HQDA (DAPE-CPL); other commands will furnish one copy of each to the next higher headquarters.

CHAPTER 1. GENERAL	Paragraph	Page
Purpose.....	1-1	1-1
Authority.....	1-2	1-1
Applicability.....	1-3	1-1
Definitions.....	1-4	1-1
Objectives.....	1-5	1-1
Policy.....	1-6	1-2
Nonappropriated fund instrumentalities.....	1-7	1-3
Responsibilities.....	1-8	1-3
Organization and functions of Incentive Awards Committees.....	1-9	1-4
Relationships with unions.....	1-10	1-5
2. ARMY SUGGESTION PROGRAM		
Definition.....	2-1	2-0
Eligibility requirements.....	2-2	2-0
Suggestion processing procedure.....	2-3	2-0
Evaluation procedure.....	2-4	2-1
Basis for granting cash awards.....	2-5	2-2
Authority to grant cash awards.....	2-6	2-2
Cash awards for adopted suggestions which result in tangible monetary savings.....	2-7	2-2
Cash awards for adopted suggestions which result in intangible benefits.....	2-8	2-3
Request for reconsideration.....	2-9	2-4
Program guidance.....	2-10	2-4
3. INVENTION AWARDS		
Definition.....	3-1	3-1
Responsibility of patent sections.....	3-2	3-1
Requirements for eligibility.....	3-3	3-1
4. SPECIAL ACHIEVEMENT AWARDS (SPECIAL ACT OR SERVICE)		
Definition and requirements for eligibility.....	4-1	4-1
Procedure and approval authority.....	4-2	4-2
Authority to grant awards.....	4-3	4-2
5. SPECIAL ACHIEVEMENT AWARDS (SUSTAINED SUPERIOR PERFORMANCE)		
Definition.....	5-1	5-1
Requirements for eligibility.....	5-2	5-1
Procedure.....	5-3	5-1
Approval authority.....	5-4	5-1
Amount of award.....	5-5	5-1
Program guidance.....	5-6	5-2

*This regulation supersedes AR 672-20, 10 May 1972, and Change 1, 30 August 1972; and DA Messages 051945Z October 1973, 252045Z March 1974, 071906Z June 1974 and 080190Z June 74, and rescinds Reports Control Symbol DD-M(A) 786.

CHAPTER 6. QUALITY INCREASES	Paragraph	Page
Definition.....	6-1	6-0
Requirements for eligibility.....	6-2	6-0
Procedure.....	6-3	6-0
Approval authority.....	6-4	6-0
Program guidance.....	6-5	6-1
7. LENGTH-OF-SERVICE RECOGNITION FOR CIVILIAN EMPLOYEES		
Purpose.....	7-1	7-0
Coverage.....	7-2	7-0
Eligibility.....	7-3	7-0
Presentation.....	7-4	7-0
Type of emblem.....	7-5	7-0
Procurement of emblems.....	7-6	7-0
8. HONORARY AWARDS AND OTHER RECOGNITION DEVICES		
The President's Award for Distinguished Federal Civilian Service.....	8-1	8-0
Department of Defense Distinguished Civilian Service Award.....	8-2	8-1
Decoration for Exceptional Civilian Service.....	8-3	8-1
Meritorious Civilian Service Award.....	8-4	8-2
★Commander's Award for Civilian Service.....	8-4.1	8-3
★Laurel Leaf Cluster.....	8-5	8-4
Certificate of Appreciation for Patriotic Civilian Service.....	8-6	8-4
Certificate of Achievement.....	8-7	8-4
The Secretary of the Army's Annual Award for Outstanding Achievement in Matériel Acquisition.....	8-8	8-4
Army Roll of Economy Champions.....	8-9	8-4.1
Department of the Army Promotion Certificate.....	8-9.1	8-5
Other recognition devices.....	8-10	8-5
9. AWARDS BY NON-FEDERAL ORGANIZATIONS		
General.....	9-1	9-1
Arthur S. Flemming Award.....	9-2	9-1
William A. Jump Memorial Award.....	9-3	9-1
National Civil Service League Career Service Award.....	9-4	9-2
National Civil Service League Special Achievement Award.....	9-5	9-3
Federal Woman's Award.....	9-6	9-3
Rockefeller Public Service Awards.....	9-7	9-4
Federal Paperwork Management Award.....	9-8	9-5
Processing nominations.....	9-9	9-6
10. PUBLIC SERVICE AWARDS		
Presidential Medal of Freedom.....	10-1	10-1
Presidential Citizens Medal.....	10-2	10-1
Department of Defense Medal for Distinguished Public Service.....	10-3	10-1
Secretary of Defense Award for Outstanding Public Service.....	10-4	10-1
Decoration for Distinguished Civilian Service.....	10-5	10-2
Outstanding Civilian Service Award.....	10-6	10-2
Laurel Leaf Cluster.....	10-7	10-2
Department of Defense Meritorious Award.....	10-8	10-2
Certificate of Appreciation for Patriotic Civilian Service.....	10-9	10-3
11. PAYMENT, PROGRAM PROMOTION, AND REPORTS		
Payment of awards.....	11-1	11-0
Promotional materials.....	11-2	11-1
Incentive Awards Program Annual Report, Reports Control Symbols 1059-CSC-AN-T and DD-M(A)1345.....	11-3	11-2
12. PROCUREMENT OF RECOGNITION DEVICES AND FORMS		
Honorary awards and other recognition devices.....	12-1	12-1
★DA Forms 2442, 2443, 4592, and 4689.....	12-2	12-1

CHAPTER 1

GENERAL

1-1. Purpose. This regulation establishes policy and regulations governing the Army Incentive Awards Program. Forms, records, files, and procedures for administration of the program are contained in Civilian Personnel Regulation 299.

1-2. Authority. This regulation is issued under authority of Federal Personnel Manual, Chapter 451; Department of Defense Instruction 5120.16; General Orders No. 34, 1956; General Orders 55, 1970; 10 USC 1124; 5 USC 4502; 5 USC 5336; and Department of Defense Instruction 1416.4.

1-3. Applicability. *a.* This regulation is applicable to all direct-hire Army civilian personnel (including US Army Reserve Technicians, National Guard Technicians, and foreign nationals) paid from appropriated funds. (Commanders in foreign areas are responsible for developing and implementing an incentive awards program for indirect-hire foreign national employees which may include similar requirements prescribed by this regulation.)

b. Provisions of this regulation pertaining to the Army Suggestion Program and to inventions and scientific achievements are applicable to:

(1) All military personnel, officer and enlisted, on active duty, including cadets at the US Military Academy, West Point, New York.

(2) Army Reserve personnel while on active duty (to include periods of active duty for training) and National Guard personnel when in Federal service. (National Guard personnel engaged in annual training pursuant to Section 502(a), Title 32, United States Code, are in State, not Federal, service.)

c. Former employees or military personnel, or the estates of deceased employees or military personnel, are eligible to receive awards for contributions made by such persons while employed by or on active duty with the Department of the Army.

d. Civilian employees of Army nonappropriated fund activities are not eligible to receive cash awards paid from appropriated funds. Such employees are eligible for Army honorary awards granted under appropriate provisions of this regulation.

e. Foreign nationals employed under indirect-hire labor agreements with foreign governments are not eligible for awards under this regulation.

f. Federal employees and military personnel outside the Department of the Army who submit suggestions on Army operations or otherwise qualify for an award are eligible under the provisions of this regulation.

g. Noncareer Government officials and non-Government personnel are eligible for Public Service Awards.

1-4. Definitions. *a.* For the purpose of this regulation, the term "major commander," as used, applies to the following:

(1) Heads of Headquarters, Department of the Army Staff agencies, for their respective organizations.

★(2) Commanders, US Army Training and Doctrine Command, US Army Forces Command, US Army Materiel Development and Readiness Command, US Army Intelligence and Security Command, US Army Communications Command, US Army Health Services Command, US Army Recruiting Command, US Army Military District of Washington, Military Traffic Management Command, and US Army Criminal Investigation Command.

(3) Commanders of major Army commands overseas.

b. The term "activities" refers to organizations, such as installations, field operating agencies, and activities which are subordinate to those identified in paragraph *a* above.

1-5. Objectives. Consistent with overall policies and objectives established by the Department of Defense, the objectives of the Incentive Awards Program are to—

a. Encourage the fullest participation of civilian employees and military personnel in improving Government operations.

b. Recognize and reward civilian employees and military personnel for suggestions, inventions, and scientific achievements contributing to efficiency, economy, or other improvement of Government operations that are above those normally expected. Recognize and reward civilian employees for

superior performance individually and for special achievements, individually or in groups, which contribute significantly to efficiency, economy, or other Government operations.

c. Ensure that program or operational areas where superior work results may warrant award consideration are identified by means of the normal management review and control processes. When such areas have been identified, cognizant supervisors should be requested to identify those employees deserving award consideration and submit appropriate recommendations.

1-6. Policy. *a.* The Incentive Awards Program will be administrated as an integral part of the Civilian Personnel Program. The suggestion program and the program covering cash awards for inventions and scientific achievements, applicable to both military and civilian personnel, will be operated on a unified basis under this regulation (para 1-7a).

b. Incentive awards activities will be coordinated to the fullest practicable extent with management improvement, work simplification, zero defects, cost reduction, industrial health and safety programs, value engineering and energy conservation, and other productivity and manpower utilization efforts. Recognition for such achievements will be by means of a Special Achievement Award (Special Act or Service). Nominations will be initiated on a DA Form 1256 and processed in accordance with chapter 4. Incentive awards (Sustained Superior Performance Awards, Quality Increases, and Cash Awards for Special Acts or Services) will not be used as a means of avoiding or as a substitution for more applicable personnel action; e.g., promotion, training assignment, or appropriate reclassification action.

c. All levels of command will indorse and support the Incentive Awards Program to assure—

(1) Appropriate and consistent use of the various types of incentive awards.

(2) Active interest and participation in the Suggestion Program and programs pertaining to inventions and scientific achievements by all personnel, civilian and military.

(3) Effective utilization of recognition devices.

(4) Full consideration of eligible Army employees for awards sponsored by other Federal and nongovernmental organizations.

(5) Exchange of information among major commands, military departments, and other Federal agencies when adopted suggestions may have wider application.

d. Publicity and other promotional measures will be used to obtain full understanding and participation of all personnel in the Incentive Awards Program. Appropriated funds may be used for the purchase of inexpensive items of no intrinsic value for use in promoting the Army Suggestion Program.

e. Suggestions will be fairly evaluated and processed as expeditiously as possible.

f. Commanders, staff officials, and supervisors will facilitate and encourage suggestion activity by identifying subjects or problems on which constructive ideas are desired and by providing positive support to the suggestion program. Supervisors who have demonstrated unusual ability to stimulate participation will be given letters of commendation or other appropriate recognition.

g. Both an honorary and a monetary award may be granted to civilian and military personnel for the same act or achievement, providing criteria for each award are met. The same act or achievement, however, cannot form the basis for more than one type of

monetary or Department of the Army honorary award.

h. (1) Performance Awards (Quality Increases, Sustained Superior Performance, and other honorary) are supervisor initiated and awarded at management discretion, based upon applicable criteria provided in this regulation. Failure to receive such an award is not a basis for a grievance or complaint.

(2) Management actions in connection with suggestions are subject to grievance procedures only when a violation of the applicable provisions of this regulation has occurred.

i. Where adverse actions are pending on employees nominated for honorary or cash awards, other than awards for adopted suggestions, action will be suspended until and unless a determination can be made that granting of the award is not inconsistent with the proposed adverse action and would not jeopardize the merits of the proposed action.

✓ *j.* The intent of 5 USC 4506 is to provide for monetary or honorary recognition of civilian officers or employees of the Government who, by their suggestions, inventions, or superior accomplishments, contribute to the economy, efficiency, or other improvement of Government operations; or who perform special acts or services in the public interest in connection with or related to their official employment. Recognition should be awarded on a timely basis, and not awarded as a farewell gesture incident to separation or retirement. The foregoing is applicable to military personnel also, within the limits prescribed by 10 USC 1124.

1-7. Nonappropriated fund instrumentalities.

a. The Incentive Awards Program for nonappropriated fund instrumentalities is contained in AR 230-2.

b. Suggestions pertaining to appropriated fund activities submitted by nonappropriated fund personnel will not be forwarded to the pertinent Army organization for evaluation until the suggester—

(1) understands that he is not eligible for a cash award if the suggestion is adopted; and

(2) consents to the use of his suggestion by execution of a waiver.

c. Cash awards are not payable under this program from appropriated funds for benefits according to nonappropriated fund organizational activities.

1-8. **Responsibilities.** *a.* The Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, will exercise staff supervision over the Incentive Awards Program Army-wide. The functions, including those portions of the program applicable to military personnel, will be staffed and administered at all levels as an integral part of the Civilian Personnel Program. Appropriate coordination will be effected with military personnel elements in regard to military participation in applicable portions of the program.

b. The Army Incentive Awards Board is responsible for making recommendations on all awards requiring Secretary of the Army approval and for advising the Deputy Chief of Staff for Personnel on matters relating to regulatory criteria and design of the more significant awards.

c. Major commanders are responsible for exercising staff supervision over Incentive Awards Programs within their command, including program planning and evaluation; for issuance of supplemental instructions for command-wide suggestion campaigns or competitions, when conducted; for establishing supplemental recognition devices adapted to major command organizations; and for approving or recommending approval of awards as prescribed in pertinent chapters of this regulation.

d. Incentive Awards Committees may be established by each major commander to—

(1) Consider those award recommendations requiring the approval of the major commander.

(2) Establish appropriate command goals consistent with departmental program objectives.

(3) Evaluate the total command Incentive Awards Program and develop feedback to subordinate activities.

(4) Assist subordinate activities in planning Incentive Awards Program activities.

(5) Recommend aspects of the program for special emphasis.

e. Commanders of activities are responsible for administration and promotion of the program. Commanders will take or direct action to insure that—

(1) Supervisors are provided guidance and staff assistance in encouraging participation in the Incentive Awards Program and in initiating appropriate recognition actions for employee achievements.

(2) Publicity is given to the entire program and information on the Incentive Awards Program is brought to the attention of all personnel.

(3) Program requirements established by Headquarters, Department of the Army and major Army commanders are accomplished and followup actions are taken in support of operating goals.

f. Civilian personnel officers at all organizational levels are responsible for providing positive program leadership and numerically adequate, qualified staffing support in implementation of the Incentive Awards Program, including those portions applicable to military personnel; for providing training and orientation of supervisors and managers, and guidance and assistance to supervisors, managers, and Incentive Awards Committees in carrying out their responsibilities under this program; for maintaining required records and submitting required reports. The Incentive Awards Program will be considered as an essential element in evaluating the effectiveness of personnel management, both by the Deputy Chief of Staff for Personnel and major commanders.

g. Information officers at all levels are responsible for aiding in publicity and promotional activities in support of the Incentive Awards Program.

h. Supervisors at all levels are responsible for initiating recommendations for appropriate awards for achievements, and/or accomplishments or special acts or services; encouraging personnel to develop suggestions; and for taking expeditious action on suggestions submitted for evaluation.

1-9. Organization and functions of Incentive Awards Committees. a. *General.* One Incentive

Awards Committee will normally be established at each installation with an operating Civilian Personnel Office. This committee may also service all activities administered by the Civilian Personnel Office, including military personnel, elements, units, or organizations based on the activity, regardless of command jurisdiction. In such situations, serviced activities, where feasible, should be represented on the committee. If, for reasons of size and/or distance, use of the installation committee does not represent the most effective arrangement, one or more separate awards committees, particularly for large tenant activities, may be established. The Civilian Personnel Office will have the same relationship to separate committees for serviced activities as to the installation committee. Commanders of serviced activities will approve awards for personnel under their jurisdiction when approval of the local commander is required. Action required above the activity level will be channeled through serviced command channels.

b. *Membership.* Members are appointed by the commander from any management officials, civilian employees, or assigned military personnel eligible to participate in the program. All committee members should be individuals who have knowledge of the activity and its mission; objectivity; demonstrated good judgment; and enjoy the confidence of the work force at large. Committees should include individuals from the major organizations of the activity and normally will include a representative from the Office of the Comptroller and the Civilian Personnel Office. In organizations where the work is predominantly technical or scientific in nature, at least one committee member should have pertinent background. Commanders will insure that female and minority group representatives are included in the membership of Incentive Awards Committees at all command and activity levels. Committees should include at least five voting members. In addition, a non-voting executive secretary will be assigned to perform necessary administrative duties. Where there is substantial activity by military personnel in the areas of suggestions, inventions, or scientific achievements, the or-

Organizational element concerned with military personnel administration should be represented.

c. Functions. The Incentive Awards Committee will—

(1) Consider and present recommendations to the commander concerning—

(a) Nominations for cash and honorary awards which exceed the approval authority delegated by the commander to subordinate officials.

(b) Nominations which are competitive; and which involve the evaluation of accomplishments of several individuals or groups.

(c) Difficult, complex, or controversial cases. Such cases might arise as the result of an employee's request for reconsideration of a prior action.

(2) Assist the civilian personnel officer in planning Incentive Awards Program activities, determining aspects of the program to be given special emphasis, implementing new program features, and improving local techniques.

(3) Evaluate the effectiveness of the program in organizational units, including analysis of results and trends, and appraisal of employee, supervisor, and management reactions; and periodic post-audit reviews of selected adopted suggestions to determine whether anticipated savings are subsequently realized. These audits may be conducted at the request of the local Incentive Awards Committees by internal review or other regularly constituted independent

staffs available to the commander of the local installation.

(4) Insure coordination of the Incentive Awards Program activities and publicity with related programs, such as cost reduction, zero defects, value engineering, management improvement, work simplification, industrial health and safety program, and productivity and manpower utilization.

d. Use of alternates. Objectivity and integrity are of paramount importance to an Incentive Awards Committee in considering recommendations for awards. There may be causes which would warrant some modification in the composition of the committee or review at a higher echelon, e.g., recommendations for employees who are themselves members of the Incentive Awards Committee, employees who supervise or who are supervised by committee members, or employees who are related to committee members. These cases may be resolved by the use of designated alternates, or by convening an ad hoc committee.

1-10. Relationships with unions. Union support of the Army Incentive Awards Program is encouraged. In accordance with this provision of CPR 711, Labor Relations, commanders and management officials will confer, consult, and negotiate, as appropriate, with unions holding exclusive recognition on the implementation of and operation of the Incentive Awards Program. Negotiated agreements must be consistent with the provisions of this regulation.

CHAPTER 2

ARMY SUGGESTION PROGRAM

2-1. Definition. *a.* A suggestion is an idea submitted in writing by one or more eligible persons, civilian or military, intended to accomplish a job better, faster, and/or cheaper; to simplify or improve operations, tools, methods, procedures, layouts, or organization; to increase individual or group productivity or manpower utilization; to conserve materials or property; to promote health or improve working conditions; to substantially reduce the likelihood of serious accidents; to improve morale in terms of desirable and feasible personnel services, on-post welfare facilities, and personnel policy and practice.

b. An adopted suggestion is a suggestion that has been installed, or for which authoritative official action has been taken, which indicates adoption and guarantees implementation in the immediate future.

c. Proprietary rights to a suggestion automatically expire 1 year after the date of final action thereon, i.e. adoption, partial adoption, or rejection.

2-2. Eligibility requirements. *a.* A suggestion is eligible for consideration when it:

(1) Is submitted in writing before or within 90 calendar days following the date the suggestion is adopted;

(2) Involves a proposal which is original to the installation as a whole;

(3) Does not substantially duplicate in content a suggestion already under consideration or a suggestion on which proprietary rights have not expired; and

(4) The idea in the adopted suggestion is either outside the suggester's job responsibility or substantially exceeds applicable performance requirements.

b. A suggestion is not eligible for consideration when any of the following apply:

(1) The suggester is ineligible to partici-

pate in the Army Suggestion Program (para 1-3).

(2) It appears to be of the complaint type or proposes changes in housekeeping practices or personal comfort.

(3) It merely recommends enforcement of existing rules, regulations, or directives. (*Note:* Suggestions on more effective procedures for enforcement are eligible.)

(4) It duplicates a suggestion for which proprietary rights have not yet expired.

(5) It was not submitted within the required time period (para 2-2a(1)).

(6) It substantially duplicates an idea currently under consideration by any board, committee, organization, or official of the Department of the Army even though the suggestion may antedate the final decision to implement the idea.

(7) It falls within the normal expectations of the suggester's job responsibility and performance requirements (para 2-10a).

c. Eligible personnel who make suggestions concerning the improvement of materials or services purchased from a contractor may receive an incentive award if the improvement results in tangible or intangible benefits to the Government, as, for example, a reduction in the cost of a product being purchased. To be eligible for such award, the individual should submit his suggestion to his employing installation so that the Government may propose the improvement to the contractor. Submission of the suggestion through Government channels is important in order to insure identification of the origin of the proposal and of the benefits to the Government. Awards are not payable to employees or military members based upon benefits to a contractor.

2-3. Suggestion processing procedure. *c.* Suggestions will be submitted on DA Form

★1045, (Suggestions) to incentive awards office or to a designated suggestion coordinator. Suggestions pertaining to publications or equipment improvement may be submitted by attaching a completed DA Form 2028 (Recommended Changes to Publications and Blank Forms) or DA Form 2407 (Maintenance Request) respectively to the DA Form 1045 which will have the identifying items completed.

b. Each suggestion received by the incentive awards office will be checked against incentive awards files to avoid the possibility of duplicate awards. All suggestions received which meet the eligibility criteria (para 2-2) will be assigned a number and a meaningful title and acknowledged promptly. The number and title will be used as the subject of any correspondence initiated in connection with processing of the suggestion.

c. A suggestion will be returned to the suggester by the Incentive Awards Office without assignment of a number and title when it fails to meet the eligibility criteria (para 2-2).

d. Suggestions which meet the eligibility criteria will be referred promptly to the office of primary interest at the installation level for investigation, evaluation, and report as to adoption.

2-4. Evaluation procedure. a. Suggestions will be evaluated as expeditiously as possible using DA Form 2440, Suggestion Evaluation. Full consideration will be given to the suggestion and any developments directly attributed to the suggestion. When it is determined that evaluation cannot be completed within 30 working days after receipt of the suggestion, the suggester will be so informed by the incentive awards office and furnished interim progress reports either in writing or by telephone. Reasons for the extended evaluation time should be given.

b. (1) When a suggestion is desirable and practicable, and within the authority of the evaluator to adopt, the evaluation report (DA Form 2440) will include a commitment as to how and when it was or will be placed in operation; an estimate of the annual savings and benefits, together with an explanation of the method used in making this

determination; an explanation of the type and relative importance of intangible benefits, if any, such as increased safety, improved working conditions, benefits to health or morale; a statement as to the extent of application; and, where applicable, an estimate of off-setting costs of implementing the suggestion.

(2) If a suggestion is considered desirable and practical but cannot be adopted locally, the office of primary interest will forward it, with its evaluation on DA Form 2440, to the next higher echelon office of primary interest having jurisdiction over the subject matter. A copy of the evaluation will be furnished the local incentive awards office as advice of the suggestion referral. Even though an evaluating office does not have final authority to adopt a suggestion, it is required that each echelon to which a suggestion is appropriately referred make a complete evaluation. Inclusion of complete evaluations on DA Form 2440, recommending adoption, is necessary and helpful to the final evaluating authority.

(3) Suggestions to be considered within the Office of the Secretary of Defense should be forwarded to the office of primary responsibility. All such referrals should contain (a) a clear concise statement as to what action is expected of the evaluator; and (b) a positive recommendation as to whether or not the idea should be adopted and reasons therefor. Coordination with the other military departments and/or other Defense agencies is to be done by the appropriate office within OSD.

(4) Suggestions considered of value to, or requiring evaluation by, other agencies of the Department of Defense will be reviewed by the concerned staff agency and referred directly to its counterpart office in the other agency(ies).

★(5) Suggestions requiring technical evaluation by departments or agencies of the Federal Government, other than the Department of Defense, will be reviewed by the concerned Army staff agency, and forwarded to HQDA(DAAG-OPA-C), WASH DC 20310, for appropriate referral.

(6) A suggestion which is undesirable or impractical may be rejected at any level, regard-

less of whether the evaluator has authority to adopt and implement the suggestion. Evaluators should not forward suggestions to higher echelons unless they are considered desirable and practicable. If the evaluator is uncertain of the suggestion's value, he/she should forward the suggestion for further evaluation. In no instance will a suggestion be rejected solely on the basis that official Department of the Army publications do not permit its adoption.

★2-5. Basis for granting cash awards. *a.* Cash awards will be granted for suggestions adopted wholly or in part, which result in tangible monetary savings, intangible benefits, or a combination of both, in accordance with the criteria contained in paragraphs 2-7 and 2-8. In order for a suggestion to be recommended for an award in excess of \$10,000, the idea in the suggestion must be original to the Army as a whole. If the suggestion is submitted by two or more eligible persons, the total of the cash award will not exceed the amount that would be authorized for a similar individual award.

b. Cash awards for adopted suggestions submitted by two or more eligible persons will be paid as follows:

(1) If the members of the group have participated on a substantially equal basis, each individual will receive an equal share of the total award.

(2) If the degree of contribution differs materially, each individual will receive a share of the total group award in proportion to his/her contribution, as determined by the management official most knowledgeable of the relative contributions of the suggesters.

c. In cases where delays will be necessary in order to determine the full value of an adopted suggestion or before the suggestion can be implemented, an initial award may be made on a conservative estimate of the anticipated value of the contribution or upon the value of the local adoption. No adjustment downward in this initial award is authorized when a final determination is made of the value of the contribution.

d. Suggestion Award Certificate, DA Form

2441, will be prepared and issued to military and civilian personnel for all cash awards for adopted suggestions.

e. Cash awards of \$100 or more for adopted suggestions should be accompanied by the Department of the Army Commendation Certificate (DA Form 2443).

★2-6. Authority to grant cash awards. *a.* Activity commanders may grant cash awards up to and including \$1500 (individual and group) computed in accordance with the criteria contained in paragraphs 2-7 and 2-8. Adopted suggestions which warrant awards in excess of \$1500 must be forwarded with nomination and pertinent information to the appropriate major commander for his/her approval prior to payment of a monetary award at the activity level. The nomination will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, and the determination made with respect to his/her eligibility for a cash award.

b. Major commanders may grant awards computed in accordance with paragraphs 2-7 and 2-8 up to and including \$10,000 (individual and group), inclusive of awards granted by activity commanders, for tangible benefits, intangible benefits, or a combination of both. Nominations for cash awards in excess of \$10,000 must be forwarded to the Executive Secretary, Army Incentive Awards Board, HQDA(DAPE-CPL), WASH DC 20310 for approval by the Board prior to payment of monetary award at the activity or major command level. Nominations will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, the determination made with respect to his/her eligibility for a cash award, and the determination that the suggestion is original to the Army as a whole.

2-7. Cash awards for adopted suggestions which result in tangible monetary savings. *a.* Cash awards for tangible monetary savings may be granted on the basis of actual or estimated savings (i.e. dollar benefits in the first year of

implementation less offsetting costs of installation) as follows:

(1) Actual dollar savings in terms of man-hours or personnel spaces;

(2) Extent of increased output at the same cost; or

★(3) Materials or other resources saved in specific terms. The costs included in the savings computations should represent actual labor costs or average salary costs used for budgeting purposes. Labor costs used in calculating costs of installation and/or man-hour savings should be based on actual costs, where available, or on a cost finding basis using average cost center labor rates. All labor rates will include leave and other personnel benefit costs as prescribed for civilian and military personnel in DOD Handbook 7220.9-H. See figure 2-1.

b. The amount of the cash awarded to eligible personnel for adopted suggestions in this category will be determined in accordance with the scale shown in table 2-1. An adopted suggestion with less than \$250 in benefits will be recognized by a letter of appreciation or a locally devised certificate.

c. Awards will be computed based upon the addition of savings at each successive level to all those previously recorded. The total award covering all adoptions is based on the scales in tables 2-1 and 2-2 appropriate to the total savings and benefits realized. This method of computation is equally applicable to both tangible and intangible benefits.

2-8. Cash awards for adopted suggestions which result in intangible benefits. a. By their very nature, awards in this category are recommended on the basis of judgment rather than precise facts and provable calculations. It is important, therefore, that award recommendations be reviewed in light of their intrinsic merit and all relevant precedents and that approval of awards and amounts thereof be as fair and consistent as possible.

b. Recommendations for awards in this category will include justification on the basis of the following:

(1) *Value of benefit.*

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

(b) *Substantial Potential Value*—Substantial change or modification of an operating principle or procedure; an important improvement to the quality of a product, activity, program, or service to the public.

(c) *High Potential Value*—Complete revision of a basic principle or procedure; a highly significant improvement to the quality of a product, major activity, or program, or service to the public.

(d) *Exceptional Potential Value*—Initiation of a new principle or major procedure; a superior improvement to the quality of a critical activity, program, or service to the public.

(2) *Extent of application.*

(a) *Limited*—Affects functions, missions, or personnel of one office, facility, installation, or an organizational element of a headquarters; affects a small area of science, technology, or major programs.

(b) *Extended*—Affects functions, missions, or personnel of several offices, facilities, or installations; affects an important area of science, technology, or major programs.

(c) *Broad*—Affects functions, mission, or personnel of an entire regional area or command; affects a broad area of science or technology or a major program.

(d) *General*—Affects functions, mission, or personnel of several regional areas or commands, or an entire department of a large agency, or is in the public interest throughout the nation or beyond.

c. The scale shown in table 2-2 will be used as a guide in determining the amount of awards for intangible benefits. If an adopted suggestion with intangible benefits in a moderate-limited category does not compare favorably with a suggestion involving tangible benefits of at least \$250, no cash award is in order. In such cases, a

letter of appreciation or a locally devised certificate may be used.

2-9. Request for reconsideration. *a.* A suggester may request reconsideration of a suggestion that has been rejected upon the presentation of new and/or additional information or documentation of an error of fact which would have a material effect upon the evaluation. Such requests must be submitted to the local incentive awards office within 45 days of the final decision not to adopt the suggestion. Requests for reconsideration which merely state disagreement or dissatisfaction with the evaluation will be returned without action. Requests will be submitted through the same evaluation channels that the suggestion passed to one command echelon above the rejecting official. In instances where the rejecting authority was at Headquarters, Department of the Army level, reconsideration will be granted at that level. No reclaims or further requests for reconsideration on the same suggestion will be accepted. The reconsideration of a suggestion which has previously been rejected will not serve as a basis for extending proprietary rights.

b. A suggester may request an investigation and report if he/she believes that official action has been taken to implement all or a portion of the suggestion during the period for which proprietary rights have been granted. The request must cite the regulation, directive, or action which implemented the suggestion and be submitted through the same channels as the original suggestion. If a direct relationship can be established between the suggestion and official action to implement the idea(s) in the suggestion, the suggester will be given appropriate recognition in accordance with tables 2-1 and 2-2.

2-10. Program guidance. *a.* Determinations of whether a suggestion is within the suggester's job responsibility or exceeds the applicable performance are properly a management decision.

In making such a determination, consideration will be given to the suggester's job description, standards of performance, organization and functional manuals, and other documents which may assist in defining the normal expectation of performance. The amount of savings alone should not be used to determine an employee's eligibility for an award since, in many positions, the accomplishment of large savings often results from normal performance of duties. In controversial cases, a commander may use the Incentive Awards Committee to consider these issues and advise him/her. Final authority for such determinations rests with the activity commander.

b. Personnel should be encouraged to submit job-related ideas and proposals related to factors such as housekeeping practices, personal comfort, employee services, and benefits, either orally or in writing, to their immediate supervisor.

c. Suggestions should be evaluated promptly. Evaluations should be recorded on DA Form 2440. Reasons for adoption or rejection and computation of estimated benefits should be stated concisely and completely and indicate serious consideration of the suggestion. Rejections should be worded in such a way as to encourage further participation by the suggester. Incentive Awards Administrators may return evaluations which are incomplete or inappropriate for further documentation.

d. Commanders may delegate to directors (normally management officials reporting directly to the commander) and Incentive Awards Administrators authority to give final approval for suggestion awards up to and including a specific dollar amount to be established at the discretion of the commander. Incentive Awards Committees will be used to advise the commander when the recommended award exceeds either the authority delegated to directors or the commander's authority.

Table 2-1

<i>Savings</i>	<i>Award</i>
\$250	\$25
\$251-\$1,000	\$25 for the first \$250 in benefits plus \$5 for each additional \$50 or fraction thereof.
\$1,001-\$10,000	\$100 for the first \$1,000 in benefits plus \$5 for each additional \$100 or fraction thereof.
\$10,001-\$20,000	\$550 for the first \$10,000 in benefits plus \$5 for each additional \$200 or fraction thereof.
\$20,001-\$100,000	\$800 for the first \$20,000 in benefits plus \$5 for each additional \$1,000 or fraction thereof.
\$100,001 or more	\$1,200 for the first \$100,000 in benefits plus \$5 for each additional \$5,000 or fraction thereof.

Note. The maximum award is \$25,000.

Table 2-2

	Extent of application			
	Limited	Extended	Broad	General
Moderate Potential Value	\$ 25-50	\$ 50- 100	\$ 100- 200	\$ 200- 400
Substantial Potential Value	50-100	100- 200	200- 400	400-1,000
High Potential Value	100-200	200- 400	400-1,000	1,000-2,500
Exceptional Potential Value	200-400	400-1,000	1,000-2,500	2,500-5,000

Note. The maximum award is \$25,000.

★Civilian and Military Personnel Salary Rate Computations

1. Reimbursable work or services performed by DOD civilian personnel will be computed on the basis of actual direct time worked priced at 129 percent of the base pay rate. Where groups of individuals are involved whose pay rates are more or less homogeneous, group average base pay rates may be used in lieu of individual base pay rates. The 29 percent acceleration rate consists of a 20 percent acceleration rate to cover standard leave and holiday costs to the financing appropriation and a 9 percent acceleration rate to cover the costs to the financing appropriation of other employee benefits such as retirement and health benefits. Refer to the Office of Personnel Management Salary Table which becomes effective in October of each year for civilian personnel.

2. Reimbursable services of military personnel will be computed on the basis of detailed time or actual direct time worked, as applicable at the composite standard rates which provide for the basic pay, incentive and special pay, and certain expenses and allowances included in the active forces Military Personnel appropriations. Refer to the annual composite standard rates table which becomes effective in October of each year for military personnel.

Figure 2-1

CHAPTER 3

INVENTION AWARDS

3-1. Definition. Invention awards are monetary grants for the inventions of one or more civilian employees and/or military personnel that are of interest to the Department of the Army and for which patent coverage is sought or granted.

3-2. Responsibility of patent sections. *a. Initial award.* The Patent Division, Office of The Judge Advocate General, and patent sections of other Army staff agencies will notify the major command or other organizations on whose behalf a patent application is prepared that the inventor is eligible for an initial invention award. The notification will be made to the inventive awards office of the major command or other organization after—

(1) The preparation and filing of a patent application covering the invention by the support patent section or by the individual inventor on his/her own initiative, and

(2) The execution by the inventor of a license or an assignment of the invention to the Government at the time the application is filed.

b. Final award. When a patent covering an invention has been issued, the concerned patent section will advise the appropriate incentive awards office of that fact to establish the inventor's eligibility for the final invention award, provided that the required rights in favor of the Government have been granted. When a Notice of Allowability has been issued for an application withheld from issue because of the classified nature of the subject matter of the invention, it shall have the status of an issued patent for final invention award eligibility notification purposes.

★3-3. Requirements for Eligibility. *a.* Civilian employees and military personnel will be eligible for consideration for an initial award of \$100 upon advice of the appropriate patent section that the conditions described in paragraph 3-2*a* have been met, and will be eligible for consideration for a final award of \$300 upon advice from

the appropriate patent section, in accordance with paragraph 3-2*b*, that a patent covering the invention disclosure has been issued or a Notice of Allowability has been issued on a patent application covering classified subject matter. If the appropriate patent section, in exercising its professional judgment, decides to file more than one patent application on an invention disclosure or to file continuation-in-part applications or to file divisional applications, the inventor will be eligible for consideration for the initial award of \$100 for each application and for consideration for the additional award of \$300 for each patent which is issued, or for each application under a Notice of Allowability, regardless of whether separate invention disclosures were originally involved. In order for a continuation-in-part application or a divisional application to qualify for invention awards, it must contain inventions that are independent and distinct from the invention of the patent application.

b. When two or more eligible persons are coinventors, each will receive an initial award of \$100. The additional award of \$300 will be divided equally among the several eligible inventors.

c. If one or more eligible inventors are joined as coinventors with one or more persons who are ineligible to receive a cash award under this paragraph, the eligible inventors will be entitled to a pro rata share of the cash award which would be authorized if all coinventors were eligible.

d. Awards under provisions of this paragraph are not authorized if a cash award has been paid for the same contribution under the Army Suggestion Program, except that where prior awards have totaled less than that authorized in *c* above, the difference may be awarded under this paragraph.

e. An award paid on issuance of a Notice of Allowability precludes payment of an additional

award under this paragraph upon issuance of the patent on the same application covered by the Notice of Allowability.

f. Incentive awards committees will accept the following as prima facie evidence on which to approve awards:

(1) *Initial award.* A brief abstract of the invention disclosure together with a statement from the appropriate patent section that the conditions set forth in paragraph 3-2a have been met.

(2) *Additional award.* A statement from the appropriate patent section that either a patent or a Notice of Allowability has been issued. (The statement to include the name of the inventor and title of the invention and, in the case of a patent, the date of issue and number of the patent.)

(3) *Restrictions.* Eligible inventors whose invention disclosures were received by patent personnel at headquarters where decisions can be made as to patent application by the Army prior to 3 March 1958 will not be eligible to receive an initial award of \$100 but inventors to whom patents or Notices of Allowability are issued on or after this date will be eligible to receive an additional award of \$300 even though these inventors are not eligible to receive an initial award.

g. When the actual value of the invention can be determined, an additional award based on its actual value may be made, if warranted. The provisions of paragraphs 2-5 and 2-6 are applicable in determining the amount of an additional award. When an award is granted, based on the value of an invention, the amount will be reduced by any awards granted under paragraph 3-3a.

CHAPTER 4

SPECIAL ACHIEVEMENT AWARDS (SPECIAL ACT OR SERVICE)

4-1. Definition and requirements for eligibility. *a.* (1) A Special Achievement Award (Special Act or Service) is a monetary award in recognition of a meritorious personal effort, act, service, or scientific achievement performed within or without assigned job responsibilities, which contributes to the efficiency, economy, or other improvement of Government operations or is otherwise in the public interest.

(2) The act(s), service(s), or scientific achievement(s) may or may not involve measurable monetary benefits and may involve one, two, or a group of employees.

b. (1) A scientific achievement is defined as an act, deed, or accomplishment which establishes a scientific or technological basis for subsequent technical improvements of military or other national significance; or a scientific or technological accomplishment of such quality and effectiveness as to have materially advanced the research and development achievements of an activity, group, or project; or a significant scientific or technological achievement which contributes materially to the welfare of the armed services and/or the nation; or an article accepted for publication is a scientific publication; or a technical paper presented to professional societies which constitutes a substantial contribution to scientific knowledge.

✓ (2) Provisions of this chapter are applicable to military personnel with respect to scientific achievements only (10 U.S.C. 1124).

(3) Included would be demonstrable individual or group achievements involving major scientific or technological advances, any research and development activity, or other professional activities. In addition, acceptance of articles for publication in newspapers, periodicals, and other media; presenting technical papers on Army subjects to professional organizations; or performing other similar personal projects which can be shown to have increased public under-

standing and interest in Army operations.

c. Special services and acts must be related to demonstrable results of the following types:

(1) Significant achievements in improving individual or group productivity by reference to work measurement or other workload data.

(2) Accomplishing group activities which result in consistently high quality and which measurably exceed quality control standards.

(3) Outstanding supervisor achievement in significantly increasing employee productivity, reducing labor costs, and/or improving manpower utilization by reference to base productivity or workload data.

(4) Directly responsible for improvements in Government operations involving significant tangible benefits not covered by the Suggestion Program.

(5) Developing highly successful field projects or programs which are accepted for major command or Army implementation.

(6) Improving service to the public in a specific or measurable way.

(7) Significant individual or group accomplishments involving occupational safety and health, mission-support activities, and other assigned activities.

d. Provisions of paragraphs 2-5 and 2-6 are applicable in determining appropriate cash awards for such special service awards. Whenever tangible benefits can be established, the cash award should be based on tangible benefits.

e. When an award is made for a special achievement performed within job responsibilities, the act or service must be so superior that it exceeds normal performance requirements of the position held.

f. The special achievement, to be recognized, must not have served either wholly or in part as

the basis for a previous monetary award to the nominee(s).

4-2. Procedure and approval authority. *a.* A supervisor or any official having direct knowledge of the act or service, or the scientific achievement may initiate the nomination. Nominations should be submitted within 45 calendar days after the act, service, or scientific achievement to be recognized. It should be formally concurred in by an operating official in the line of command, consistent with local procedure.

b. The DA Form 1256 (Incentive Award Nomination and Approval) will be used in submitting recommendations for this award. When the recommendation is based on measurable tangible benefits, the supporting data will be in detail to show the manner in which the tangible benefits were computed. Recommendations based on intangible benefits will identify the value of benefit and extent of application appropriate for the achievement to be recognized.

c. Commanders will delegate to directors (normally the managers reporting directly to the commanders) authority to give final approval to Special Achievement Awards (Special Act or Service) up to and including a specific dollar amount to be established at the discretion of the commander. Nominations which are within the delegation of authority to the directors will not be subject to consideration or approval by Incentive Award Committees, organizational, ad hoc, or other committees, formal or informal.

d. Nominations for cash awards which are finally approved by directors will be forwarded to the incentive awards office by the approving officials. The nominations will be audited by the incentive awards staff for mathematical accuracy and regulatory compliance prior to forwarding to

the Finance and Accounts Office for payment.

e. Nominations for awards in excess of the director's authority will be forwarded to the incentive awards office for processing and consideration by the Incentive Awards Committee.

4-3. Authority to grant awards. *a.* Cash awards up to and including \$1,500 (individual or group) may be granted by activity commanders, for tangible monetary benefits, intangible benefits, or a combination of both awards, to be computed in accordance with criteria contained in paragraphs 2-5 and 2-6. Nominations for Special Act or Service Awards which warrant a cash award in excess of \$1,500 must be forwarded with recommendation and pertinent information to the appropriate major commander for his/her approval prior to payment of monetary award at the activity level.

b. Major commanders, as defined in paragraph 1-7c, are authorized to grant cash awards up to and including \$10,000 (individual or group), inclusive of awards granted by installation commanders, for tangible monetary benefits, intangible benefits, or a combination of both; awards to be computed in accordance with criteria contained in paragraphs 2-5 and 2-6.

★ *c.* Recommendations in excess of \$10,000 will be forwarded to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310 for approval by the Board prior to payment of monetary award at the activity or major command level.

d. Each cash award of \$100 or more made under the provision of this chapter will be accompanied by a Commendation Certificate, DA Form 2443.

CHAPTER 5

SPECIAL ACHIEVEMENT AWARDS (SUSTAINED SUPERIOR PERFORMANCE)

5-1. Definition. *a.* A Special Achievement Award (Sustained Superior Performance) is a monetary award in recognition of individual performance, normally for a period of 12 months or more, which meets the standards for satisfactory performance in every respect and which clearly exceeds standards for satisfactory performance on the majority of those major duties which are critical to the total job. These duties are the grade determining or significant duties which are essential to successful performance by an individual employee. Tangible savings from such performance should not be a factor in determining award eligibility.

b. This award consists of a cash award determined in accordance with paragraph 5-5 and a DA Form 2443, Commendation Certificate.

c. The Special Act or Service Award, rather than the Sustained Superior Performance Award, should be used to recognize individual performance, which results in significant tangible benefits, not covered by the Army Suggestion Program.

5-2. Requirements for Eligibility. *a.* The minimum period of sustained performance required for this award is normally 1 year. This period must have been at the same grade level unless the employee was changed to lower grade during this period for reasons other than personal cause. Promotions, demotions, and separations subsequent to the completion of the period upon which the award is based should not affect the employee's award eligibility.

b. No monetary award may be granted which is based in whole or in part upon a specific act or any period of service which served as the basis for a previous monetary award.

5-3. Procedure. *a.* The employee's immediate supervisor is responsible for initiating the nomination on DA Form 1256.

b. Documentation for the nomination will be concise and consist of:

(1) A listing of the major duties of the employee's position critical to job success.

(2) A factual statement of actual performance of the majority of these duties which clearly indicates the manner in which the employee's performance exceeds applicable standards for satisfactory performance.

(3) A statement that performance of all other duties has been not less than satisfactory.

c. (1) If the recommendation is approved, the designated approving official will complete the DA Form-1256 and submit the file to the Civilian Personnel Office for processing and forwarding to the Finance and Accounting Office for payment.

(2) If the recommendation is not favorably considered, it will be returned to the immediate supervisor by the designated approving official with the reasons for unfavorable consideration clearly stated.

5-4. Approval authority. Commanders should delegate approval authority to the appropriate level where comparable authority lies for significant personnel management actions, and effective control can be exercised (normally the managers reporting directly to the commander).

5-5. Amount of award. *a.* Except where provided by a negotiated agreement with a union enjoying exclusive recognition, or where altered by the commander in the interests of employee equity, awards for employees, other than foreign nationals, will be determined in accordance with the schedule in table 5-1.

Positions not covered by the schedule in table 5-1 will be computed under the following formula: hourly rate x 2080-total salary to be compared with the first step of a grade in the GS pay schedule. GS grade equivalent will be the lowest grade which step one equals or exceeds actual salary. The resulting comparable GS grade will be the basis for the award determination.

b. Award amounts may be established through negotiation with labor organizations having exclusive recognition or by commanders when it is determined that an inequity would occur if the schedule in table 5-1 were applied. Such awards are subject to the following limitations:

(1) *General Schedule employees*—An amount not in excess of one within-grade increase in the employee's current grade level.

(2) *Coordinated Federal Wage System employees*—An amount not in excess of four percent of the employee's annual wage (computed by multiplying the hourly wage rate by 2080 hours).

(3) *Employees not covered by (1) or (2) above*—Awards will be limited to an amount not in excess of a within-grade increase in the equivalent General Schedule grade level, computed in accordance with paragraph a.

c. Major commanders overseas will determine the amount of awards to be paid to direct-hire foreign nationals. The amounts established will provide generally the same proportionate relationship to the annual salary paid foreign nationals as that reflected in table 5-1.

5-6. Program guidance. a. Nominations should be submitted within 30 calendar days after completion of the period of service to be recognized. Final action should be taken within 15 days thereafter. The total elapsed time between submission and final action should not exceed 45 days from the date of completion of the period of service to be recognized.

b. Employees should be nominated solely on the basis of individual performance which meets the established criteria. Nominations are not appropriate when the moving force in the supervisor's action is the employee's impending departure.

c. Periods of extended absence (e.g. LWOP, maternity leave, or sick leave) should be excluded when determining the period of service to be recognized.

d. The granting of successive awards is not recommended except in unusually deserving cases. The use of the Sustained Superior Performance Award is more than a reward for the deserving employee. It is also a motivational device for the entire workforce. Prudent use is essential to assure that only those who meet the established criteria receive the award and that the awards granted produce the desired motivational effect. These awards should not be granted automatically on the presumption that an employee is sustaining the high level of performance previously recognized.

e. Relationship between the Sustained Superior Performance Award and the Quality Increase—The criteria for these awards are very similar. One major difference is that a nominee for the quality increase is expected to continue the same high quality performance in the future. Since the employee usually continues to enjoy the benefits of the quality increase for many years, continuation of the high quality performance should not form the basis for subsequent awards of a similar nature. While a supervisor may expect the high quality performance of an employee to continue, he may still elect to nominate the employee for a Sustained Superior Performance Award. If the employee continues to perform at the same high level of performance in subsequent periods, he may then nominate the employee for either another Sustained Superior Performance Award or a Quality Increase. In order for an employee who has received one Quality Increase to be nominated for a second monetary performance award, the employee should have performed at a level significantly above that for which he was previously recognized.

f. Commanders may authorize oral recommendations whenever it is determined that the writing skills of the supervisors tend to inhibit recognition of deserving employees. Tape recorders and/or stenographic service should be utilized to meet the requirements of paragraph 5-3b.

g. Employees should not at any time be informed that they are under consideration for or have been nominated for a Special Achievement Award (Sustained Superior Performance). Such actions may create serious morale problems in the event the nominations are not approved.

Table 5-1. Pay Schedule and Grades

<i>Amount of award</i>	<i>GS</i>	<i>WG</i>	<i>WL</i>	<i>WS</i>	<i>Oversea teachers</i>
\$150 -----	1-4	1-8	1-6	1-2	-----
200 -----	5-8	9-13	7-11	3-8	I-II
250 -----	9-11	14-15	12-15	9-12	III-V
300 -----	12-13	-----	-----	13-18	VI
350 -----	14-18	-----	-----	19	-----

CHAPTER 6

QUALITY INCREASES

6-1. Definition. *a.* A Quality Increase is an additional within-grade pay increase in recognition of high quality performance above that ordinarily found in the type of position concerned. High quality performance is defined as clearly exceeding the standards for satisfactory performance in all major duties which are critical to the total job, with at least satisfactory performance in other aspects of the total job.

b. This award consists of a within-grade pay increase and a DA Form 2443, Commendation Certificate.

6-2. Requirements for eligibility. *a.* The minimum period of high quality performance required for this award is normally 1 year. This period must have been at the same grade level unless the employee was changed to a lower grade during this period for reasons other than personal cause. Demotions and separations subsequent to the completion of the period upon which the award is based should not affect the employee's award eligibility.

b. No quality increase may be granted which is based in whole or in part upon a specific act or any period of service which served as the basis for a previous monetary award.

c. A quality increase is not appropriate when the employee is about to receive or has just received a promotion, selection for which included consideration of the high level performance the quality increase would recognize.

b. The Special Act or Service Award, rather than a Quality Step Increase, should be used to reward individual performance which results in significant tangible benefits not covered by the Army Suggestion Program.

6-3. Procedure. *a.* The employee's immediate supervisor is responsible for initiating the nomination on DA Form 1256.

b. Documentation for the nomination will be concise and consist of:

(1) A brief listing in narrative form of the major duties critical to job success.

(2) A brief statement of the actual performance of these duties expressed in statements of specific accomplishments, which clearly identify very superior performance.

(3) A statement that the employee's performance in all other elements has been not less than satisfactory.

(4) A statement by the nominating supervisor certifying that, on the basis of past experience, he believes the employee's high quality performance is likely to continue.

(5) Concurrence by a higher level of supervision.

c. (1) If the nomination is favorably considered, the designated approving official will complete the DA Form 1256 and submit it with the justification attached to the Civilian Personnel Office for preparation of DA Form 2515, Payroll Change Skip. Effective Date will be the first day of the pay period beginning on or after the date of approval of the recommendation. The date of presentation of this award will not change the effective date of the employee's normal within-grade pay increase.

(2) If the recommendation is not favorably considered, it will be returned to the immediate supervisor by the designated approving official with the reasons for unfavorable consideration clearly stated.

6-4. Approval authority. Commanders should delegate authority to approve this award to the appropriate level where comparable au-

thority lies for significant personnel management actions and effective control can be exercised (normally the managers reporting directly to the commander).

6-5. Program guidance. *a.* Nominations should be submitted within 30 calendar days after completion of the period of service to be recognized. Final action should be taken within 15 days thereafter. The total elapsed time between submission and final action should not exceed 45 days from the date of completion of the period of service to be recognized.

b. Employees should be nominated solely on the basis of individual performance which meets the established criteria. Nominations are not appropriate when the moving force in the supervisor's action is the employee's impending departure.

c. The granting of a second quality increase to the same employee, while not prohibited, is not recommended except in the most rare, unusually deserving cases. Because of the nature of the award, the benefits are enjoyed by the recipient of this award over many years. A second award may result in dual recognition since the award is based in part on the expectation of continued high quality performance.

d. Periods of extended absence (e.g., LWOP, maternity leave, or sick leave) should be excluded when determining the period of service to be recognized.

e. Relationship between the Sustained Superior Performance Award and the Quality Increase—The criteria for these awards are very similar. The major difference is that to receive a Quality Step Increase, the nominee must be expected to continue the same high quality performance in the future. Since the employee continues to enjoy the benefits from this award for many years, continuation of the high quality performance should not form the basis for subsequent awards of a similar nature. While a supervisor may expect the high quality performance of an employee to continue, the supervisor may still elect to nominate the employee for a Sustained Superior Performance Award. If the employee continues to perform at the same high level of performance for an extended period, the supervisor may at a later date nominate the employee for either another Sustained Superior Performance Award or a Quality Increase, or consider the employee for an honorary award. In order for an employee who has received one quality increase to be nominated for a second monetary performance award, the employee should have performed at a level significantly above that for which he was previously recognized.

f. Employees should not at any time be informed that they are under consideration for or have been nominated for a Quality Increase. Such actions may create serious morale problems in the event the nominations are not approved.

CHAPTER 7

LENGTH-OF-SERVICE RECOGNITION FOR CIVILIAN EMPLOYEES

7-1. Purpose. Length-of-service emblems and certificates (DA Forms 2200) will be awarded civilian employees to provide recognition for long and faithful Federal service with the Department of the Army and other Government agencies.

7-2. Coverage. *a.* US citizen civilian employees of the Department of the Army, who complete 10, 15, 20, 25, 30, 35, 40, 45, and 50 years of satisfactory service, will be awarded length-of-service emblems and certificates appropriate to their years of service.

b. Foreign nationals who are employed overseas on a direct-hire basis by the Department of the Army may be awarded the same length-of-service emblems and certificates as prescribed for US citizen employees or emblems and certificates of similar but distinctive design deemed appropriate for each group. Personnel employed by an indirect-hire arrangement may not be awarded the US citizen emblem, but may be awarded emblems of similar but distinctive design.

(1) Plans to award emblems to indirect-hire foreign nationals and proposed emblem designs will be coordinated with host governments to assure compliance with local traditions and customs. Designs may also be submitted to HQDA (DAPE-CPL), WASH DC 20310, for coordination with The Institute of Heraldry, US Army, prior to procurement.

(2) Award of emblems to foreign nationals need not be restricted to the intervals cited in paragraph *a* above, but may be awarded for any period deemed appropriate.

7-3. Eligibility. All Federal civilian and military service will apply toward eligibility for a length-of-service emblem, provided the final year of service has been as a civilian employee of the Department of the Army.

7-4. Presentation. *a.* Length-of-service emblems will normally be presented soon after the employee attains eligibility. However, the date of presentation may be set within a reasonable period of time after date of eligibility in order to arrange presentation ceremonies for groups of employees or to include the presentation in anniversary celebrations or other events of special meaning to the Army activity.

b. Benefits to morale from such recognition depends to a large degree upon the pride and respect with which the emblem is presented, received, and worn. In order to foster these attitudes, care will be taken to focus maximum public and employee attention upon the emblems as symbols of competent and devoted public service. This may best be accomplished through carefully planned public relations activities in connection with award presentation ceremonies.

c. Awards ceremonies for foreign national employees will be administered in such a manner as to emphasize the mutual interest of the United States and host government and to obtain a favorable response from a community relations standpoint.

7-5. Type of Emblem. The emblem consists of the Coat of Arms of the United States combined with two laurel leaves joined at the base. The years of service are indicated on a small shield at the base. Bronze emblems will serve to recognize 10 and 15 years of service; silver, 20 and 25 years of service; and gold, 30, 35, 40, 45, and 50, with gemstones used to distinguish the latter three milestones.

7-6. Procurement of Emblems. *a.* Length-of-service emblems for civilian personnel of the Department of the Army may be purchased directly from contractors listed annually in

28 July 1975

AR 672-20

the Federal Supply Schedule. Copies of the Federal Supply Schedule may be secured from the appropriate General Services Administration (GSA) office, using GSA Form 457. These forms are available at the GSA regional offices.

b. Commanders overseas are authorized to effect local procurement of length-of-service emblems.

CHAPTER 8

HONORARY AWARDS AND OTHER RECOGNITION DEVICES

8-1. **The President's Award for Distinguished Federal Civilian Service.** *a.* This award, a gold medal and citation, granted by the President of the United States, stands at the pinnacle of the Government's system for granting awards to its employees for special efforts significantly above and beyond the requirements of their position. Only five of these awards are granted annually. The achievements upon which a nomination for this award are based should have current impact in improving Government operations or serving the public interest, and exemplify one or more of the following:

- (1) Imagination in developing creative solutions to problems in Government.
- (2) Courage and perseverance against great odds and difficulties.
- (3) High ability in accomplishing extraordinary scientific or technological achievement; in providing outstanding leadership in planning, organizing, or directing a major program of unusual importance and complexity; or on performing an extraordinary act of credit to the Government and the country.
- (4) The importance of the achievements to the Government and to the public interest should be so outstanding that the employee is deserving of greater public recognition than that which can be granted by the Secretary of the Army or the Secretary of Defense.

b. Nominations for this award should be submitted to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310. Nomination deadlines will be announced periodically. Nominations will be submitted through command channels and be personally indorsed by the concerned major commander. Nominees must have already received the Department of the Army Decoration for Exceptional Civilian Service

and the Department of Defense Distinguished Civilian Service Award. Federal employees serving by Presidential appointment in noncareer positions are not eligible for consideration for this award.

c. Nominations will be submitted in original and five copies in the following format. A recent photograph 8-by 10-inch glossy, will be included with each copy.

(1) *First page*—A brief biographical sketch to include:

- (a) Date and place of birth.
- (b) Education and degrees conferred.
- (c) Significant employment record.
- (d) Type of appointment.

(2) *Second page*—A proposed citation for the signature of the President, 75 to 95 words, in two-paragraph form, using upper and lower type, as appropriate, highlighting the significance of the nominee's achievements.

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

(a) *Summary of achievement*—not more than one page. This should be stated in specific terms and include dates of achievement.

(b) *Additional details*—in nontechnical language illustrating how nominee was personally responsible. This should relate to the achievements listed in (a) above, and be specific as to date(s) of accomplishment.

(c) *Benefits*—the specific benefits on improving Government operations or serving the public interest. Describe separately the tangible and the intangible benefits.

(d) *Personal qualities*—example of personal qualities of the nominee which made the achievement possible.

(e) *Other awards received*—a statement describing any other significant awards received.

(f) *Published works*—a list of published works in science, technology, or the humanities.

d. Nominations will be single spaced, on one side of 8- by 10½-inch paper. One original and five copies of DA Form 1256 will accompany the nomination.

e. Supporting or technical material may also be submitted as a supplement to the nomination.

8-2. Department of Defense Distinguished Civilian Service Award. a. The Secretary of Defense annually awards the Department of Defense Distinguished Civilian Service Award to six civilian employees of the Department of Defense, whose careers reflect exceptional devotion to duty and extremely significant contributions of broad scope to the efficiency, economy, or other improvement in the operations of the Department of Defense. Awards are made in two categories:

(1) For contributions or achievements primarily in the scientific field, or

(2) For contributions or achievements in fields other than scientific. This award consists of a gold medal and citation certificate signed by the Secretary of Defense.

b. Nominations for this award should be made from among those employees who already have been awarded the Decoration for Exceptional Civilian Service. In those instances where the contribution(s) or achievement(s) is so outstanding as to warrant consideration for the Department of Defense Award, concurrent nominations may be submitted for both awards.

c. Nominations will be submitted in an original and five copies in the format indicated in table 8-1. Each copy should be in a separate folder. An original and five copies of DA Form 1256 will accompany each nomination. Nominations must be submitted through command channels and be personally indorsed by the major commander concerned. Nominations must be received by the Executive Secretary, Army Incentive Awards Board, HQDA(DAPE-CPL), WASH DC 20310, not later than 1 November of each year.

d. An individual who receives the Department

of Defense Distinguished Civilian Service Award does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement or service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a bronze palm leaf ribbon attachment for the original medal.

8-3. Decoration for Exceptional Civilian Service. a. This award, consisting of a gold medal, rosette, and citation certificate, signed by the Secretary of the Army, is the highest honorary award granted by the Secretary of the Army to Army civilian employees. All direct-hire employees of the Department of the Army (para 1-3a) are eligible for consideration. A nomination for this award will cover a minimum period of 1 year of service, except nominations for bravery, and must be submitted within 6 months after completion of the period to be cited.

b. Eligibility for the Decoration for Exceptional Civilian Service will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished assigned duties of major program significance to the Department of the Army in such a manner as to have been clearly exceptional or preeminent among all who have performed like or similar duties.

(2) Developed and improved major methods and procedures, developed significant inventions, or was responsible for exceptional achievements which effected large-scale savings or were of major significance in advancing the missions of the Department of the Army, and/or the Department of Defense, and the Federal Government.

(3) Exhibited great courage and voluntary risk of life in performing an act resulting in direct benefit to the Government or its personnel.

(4) Provided outstanding leadership to the administration of major Army programs in terms of highly successful accomplishment of mission or in the major redirection of objectives or

accomplishments to meet unique or emergency situations.

c. When this award is granted for a heroic act, such as described in *b(3)* above, a minimum cash award of \$200.00 will accompany the decoration. The words "FOR BRAVERY" will be inscribed on the reverse side of the medal.

d. Nominations will be submitted in original and five copies in the same format and containing the same information and documentation required for the President's Award for Distinguished Federal Civilian Service (para 8-1c, *d*, and *e*). DA Form 1256 in triplicate will accompany each nomination. Nominations will be submitted to the Executive Secretary, Army Incentive Awards Board, HQDA(DAPE-CPL), WASH DC 20310, through command channels and be personally indorsed by the major command concerned.

e. Retirement, separation, or long periods of service will not constitute a sufficient basis for conferring this award. With the exception of nominations for bravery, nominations will not normally be considered unless nominees have established a pattern of excellence as demonstrated by receipt of such prior Department of the Army recognition as the Meritorious Civilian Service Award or equivalent recognition from another Federal agency. Contributions and achievements which have already been recognized by award of the Meritorious Civilian Service Award will not be the basis for consideration for award of the Decoration for Exceptional Civilian Service and will not be included in a nomination for the latter award (para 1-5g).

f. An individual who received the Decoration for Exceptional Civilian Service does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement or service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a laurel leaf cluster (para 8-5).

★ **8-4. Meritorious Civilian Service Award.** *a.* This is the second highest Department of the Army honorary award and consists of a medal,

rosette, and citation certificate. This award may be granted by the Secretary of the Army or a major commander. Major commanders may re-delegate approval authority for this award to any Commander of the rank of Major General or above who heads a subordinate command, activity, or installation which has a sufficient number of employees in positions where, based on past experience, outstanding achievements of the nature described in paragraph 8-4b, below, may be expected. A post audit review will be maintained to assure that criteria are met. All direct-hire Department of the Army employees (para 1-3a) are eligible for consideration. A nomination for this award will cover a minimum period of 1 year of service, except nominations for courage and competence in an emergency, and must be submitted within 6 months after completion of the period to be cited.

b. Eligibility for the Meritorious Civilian Service Award will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished supervisory or nonsupervisory duties in an exemplary manner, setting a record of achievement, and inspiring others to improve quantity and quality of their work.

(2) Demonstrated unusual initiative and skill in devising new and improved equipment, work methods, and procedures, or conceiving inventions resulting in substantial savings in manpower, time, space, materials, or other items or expense, or improved safety or health of the workforce.

(3) Achieved outstanding results in improving the morale of workers in an organizational unit of the Department of the Army with consequent improvement in work performance and esprit de corps.

(4) Exhibited unusual courage or competence in an emergency, while performing assigned duties, resulting in direct benefit to the Government or its personnel.

(5) Rendered professional or public relations service of a unique or distinctive character, deemed by the awarding authority to be worthy

of recognition, either as a reward for accomplishment or as an incentive to others.

c. When this award is granted for an act, such as described in *b(4)* above, a minimum cash award of \$100.00 will accompany the medal.

d. Retirement, separation, or long periods of service will not constitute a sufficient basis for

conferring the Meritorious Civilian Service Award.

e. Prior to making an award of this medal to a foreign national employee (para 1-3*a*), coordination with the American Embassy in the area will be accomplished to ensure that the award will be compatible with the interest of the United States. Such coordination will be made a matter of record.

f. An individual who receives the Meritorious Civilian Service Award does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement of service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a laurel leaf cluster (para 8-5).

g. In the absence of specific instructions from the office having approving authority, nominations will be prepared in the same format and contain the same information and documentation required for the President's Award for Distinguished Federal Civilian Service (paras 8-1c, *d*, and *e*).

★8-4.1 Commander's Award for Civilian Service.

a. This Department of the Army honorary award ranks directly below the Meritorious Civilian Service Award and consists of a medal, lapel pin, and certificate, DA Form 4689. The award may be approved by any commander, agency head, or subordinate official of general officer rank or civilian equivalent. All employees, appropriated and nonappropriated fund, US citizen and foreign national, are eligible for consideration. A nomination will normally cover a minimum period of 1 year of service.

b. Eligibility for the Commander's award will be determined by measuring contributions to the activity against the level of achievement defined below:

(1) Accomplished supervisory or nonsupervisory duties in an outstanding manner establishing an example of achievement for others to emulate.

(2) Demonstrated initiative and skill in devising new or improved equipment, work methods, and procedures, or conceiving inventions resulting in considerable savings in manpower, time, space, materials, or other items of expense, or improved safety, or health of the activity workforce.

(3) Demonstrated leadership in performing assigned duties which resulted in the improved productivity of the unit to which assigned.

(4) Rendered professional or public relations service which resulted in considerable favorable publicity in the general area in which the activity or installation is located.

(5) Demonstrated courage or competence in

an emergency at the workplace resulting in benefit to the Government or its personnel.

c. Employees who have established a pattern of excellence as recognized through the previous receipt of one or more honorary or monetary performance award(s) (e.g., Outstanding Performance Ratings, commendations, Sustained Superior Performance Award, or Quality Increases) should be considered for this award.

d. Retirement, separation, or long periods of service will not constitute a sufficient basis for conferring the Commander's Award.

e. Prior to awarding the medal to a foreign national employee, coordination with the American Embassy in the area will be accomplished to ensure that the award will be compatible with the interests of the United States. Such coordination will be made a matter of record.

f. Nominations will be initiated by the employee's supervisor on DA Form 1256 and concurred in at each level below the approval authority.

g. A proposed citation of normally not more than 100 words, highlighting the significance of the nominee's achievements will accompany the nomination.

h. When the local commander is not of general officer rank or civilian equivalent, nominations will be processed through command or agency channels to the first command or agency level where there is a commander of general officer rank or civilian equivalent for approval (para *a*). The local commander will sign the certificate on the line at the lower left and the general officer or civilian equivalent approving the award will sign at the lower right. The title of the signer and date certificate was signed will be indicated below each signer's name. When the nominating official is also the approving official, the date the award is to be presented will be shown on the line at the lower left of the certificate and signature and title of the approving general officer or civilian equivalent on the line at the lower right.

i. An individual who receives the Commander's Award is not precluded from future receipt of the same award, provided any subsequent consideration is based on a different achievement or service performed during a subsequent period. Succeeding awards will be recognized by addition of a laurel leaf cluster (see para 8-5) to the medal.

★8-5. **Laurel Leaf Cluster.** A bronze, silver, or gold cluster of three laurel leaves and berries, symbolizing civilian honors and achievement, is available for attachment to the ribbon of the Decoration for Exceptional Civilian Service, Meritorious Civilian Service Award, and Commander's Award for Civilian Service signifying second, third, and fourth awards respectively. Medals will be presented with the proper cluster affixed to the suspension ribbon, centered on the middle white stripe, the leaves pointing upward.

8-6. **Certificate of Appreciation for Patriotic Civilian Service.** *a.* This award is applicable to individual employees or group of employees only in those cases where services rendered to the Department of the Army are not job connected and reflect patriotic off-duty activities of a public service type contributing to the mission accomplishment of an installation, command, or staff agency of the Army or to the welfare of Army personnel.

b. The certificate and lapel button may be awarded to individuals and groups by the Secretary of the Army or by a major commander for services rendered to elements of the Army under his/her jurisdiction. This authority may be redelegated to subordinate commanders at the discretion of the major commander concerned.

c. Recommendations will be initiated by the employee's superior on DA Form 1256 and concurred in by responsible officials. Recommendations for granting the award by the Secretary of the Army will be personally indorsed by major commanders and submitted to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310.

d. This award may also be used to recognize civilian employees for donating blood to the American Red Cross Blood Bank. Criteria for individual donors to receive this award will be a minimum of 10 gallons (80 pints).

8-7. **Certificate of Achievement.** *a.* DA Form 2442, Certificate of Achievement, may be granted by major or activity commanders as honorary recognition for employee contributions.

b. Recommendations for Certificate of Achievement will be initiated by the employee's supervisor. Commanders will delegate to directors (normally the managers reporting directly to the commander) authority to give final approval to nominations for Certificate of Achievement with-

out prior approval of, or reference to, Incentive Awards Committee, organizational, ad hoc, or other committees, formal or informal.

c. Eligibility for the Certificate of Achievement will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished assigned duties in a commendable manner, demonstrating skill and initiative in devising and improving work methods and procedures which result in saving of manpower, time, space, or materials.

(2) Significantly affected employee morale resulting in improved work performance and esprit de corps.

(3) By personal diligence or initiative was directly responsible for meeting mission requirements or special workload projects involving unexpected difficulties and operational demands.

d. Citations on such certificates will not be worded so that the achievement appears to warrant a higher award or decoration.

8-8. **The Secretary of the Army's Annual Award for Outstanding Achievement in Materiel Acquisition.** *a.* This award, consisting of a silver medalion, lapel pin, and citation certificate signed by the Secretary of the Army, is given for outstanding individual or team contributions by military or civilian personnel to the timely, efficient, and economical acquisition of quality supplies and services. The award recognizes high-level achievement in project, materiel, and special management activities, procurement and production efforts, and management of research and development. All direct-hire employees (para 1-3a) and active military personnel of the Department of the Army are eligible for consideration. A maximum of 10 awards may be presented annually.

b. To be eligible for the award, the individuals or team must have—

(1) Been assigned for duty in a staff or operating function in support of the materiel acquisition process for at least 1 year prior to the expiration of the period of service to be recognized.

(2) Made a significant contribution to the improvement of the materiel acquisition process (see table 8-2), as measured in part by—

(a) The complexity of the problem involved and the degree of initiative and originality displayed in solving it.

(b) The relative significance of the accomplishment in light of the overall activity mission.

(c) The possibility of direct application or adoption of the contribution by other activities.

(d) The improvement in program management.

c. Nominations will be submitted in original and five copies to contain the following information:

(1) Name, grade, MOS or Series, and organizational title of nominee(s) with a brief statement of assigned duties.

(2) A clear and concise description of the achievements in sufficient detail to permit review and comparison against the criteria established in paragraph b.

(3) Biographical sketch of the nominee or for each of the nominees if more than one is involved.

(4) A statement as to whether the nominee has received any other award for this achievement.

(5) An 8- by 10-inch glossy black and white photograph of each nominee. A group photograph is also desirable when more than one nominee is involved. A caption should clearly identify all members of a group photograph.

(6) A proposed citation for the signature of the Secretary of the Army, 75 to 95 words, highlighting the achievements of the nominee(s).

d. Nominations must be submitted through command channels and be personally indorsed by the major commander concerned. Nominations are made on a fiscal year basis and must be received by the Executive Secretary, Army In-

centive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, not later than 15 September each year. There is no limit on the number of nominations which may be submitted. When more than one nomination is submitted by a major command, they will be ranked in order of the significance of accomplishments.

8-9. Army Roll of Economy Champions. a. In the interest of giving added impetus to incentive awards activities aimed at encouraging widespread efforts by all Army personnel, civilian and military, to find ways of doing their jobs more efficiently and at less cost, a program designated as the Army Roll of Economy Champions was established. This continuing program began with Fiscal Year 1968.

b. Army personnel, civilian and military, will be entered on the Army Roll of Economy Champions by major commanders and major subordinate commanders when they have made award winning contributions (adopted suggestions or special achievements)—

(1) Which are beyond normal job requirements,

(2) Which have been placed into effect or on which award action has been completed during the competitive fiscal year, and

(3) Which result in first year measurable benefits having a value of \$10,000 or more.

c. Contributions may be individual or group achievements.

d. In order to give additional distinction to those who have made significant contribu-

tions toward achieving the goal of a "Better Product and Service at Reduced Cost," major commanders and major subordinate commanders will award the DA Form 2442, Department of the Army Certificate of Achievement, to all personnel meeting the criteria for designation as Army Economy Champions.

e. Contributions submitted through such programs as Cost Reduction, Management Improvement, Value Engineering, Zero Defects, and Work Simplification will be reviewed carefully to assure that those awardable under this program are given appropriate recognition.

★8-9.1 Department of the Army Promotion Certificate. *a. Description.* DA Form 4592, Department of the Army Promotion Certificate, is printed on 10½- by 8-inch certificate stock with the Department of the Army plaque printed on it.

b. Eligibility. All appropriated and nonappropriated fund civilian employees of the Department of the Army, including direct and indirect-hire local national employees, are eligible to receive this certificate. To be eligible, the employee must be employed by the Department of the Army immediately preceding the permanent promotion action or be reemployed after military service at a higher grade than that held previously. Changes between pay systems which result in pay increases and which are properly processed as promotions are included except for those changes which are required by reduction-in-force regulations.

c. Preparation. The certificate may be completed either mechanically or by hand and will include the employee's name, pay plan, grade, and the effective date of the promotion. The organizational title of the employee or the name of the organization in which he/she works may be entered below

the name of the employee. The appropriate signature block will be entered below the line provided.

d. Authentication. Commanders will establish appropriate levels of approval authority, consistent with the rank of the position to which the employee is promoted.

e. Presentation. The certificate will be presented with appropriate ceremony by the signatory official or by a designated official in a manner reasonably consistent with military promotion ceremonies in that organization. Normally, the presentation will take place prior to, or on the effective date of the promotion, but it should be presented within 30 days following the effective date.

8-10. Other recognition devices. *a.* Letters of Appreciation or Commendation may be granted by responsible supervisors for specific instances of above-standard performance or work achievements by an individual employee or a small group of employees which warrant special recognition but do not meet criteria for a higher or special-type award. Any supervisor or official having direct knowledge of the employee's acts, services, or performance warranting recognition may prepare letters. Such letters will be signed by the employee's supervisor or concerned official or by a higher level supervisor, consistent with local procedures.

b. Special plaques and other recognition devices may be established by activity commanders, consistent with policy established by the major command. These recognition devices may be granted by activity officials where so delegated by activity commanders. No review or processing by Incentive Awards Committees is required unless provided for under special local procedures.

Table 8-1

**Nomination of (Name)
for
Department of Defense Distinguished Civilian Service Award**

I. Biological Data**A. General Information:**

Name:

Date of Birth:

Title and Grade:

Organization and Location:

Service Computation Date:

Length of Time with Present Agency:

B. Education:

<i>Year</i>	<i>Degree</i>	<i>School</i>	<i>Major Field</i>
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C. Significant employment (list in chronological order beginning with present position):

<i>Years</i>	<i>Position Title (and grade, if applicable)</i>	<i>Organization</i>
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D. Significant prior awards (list in chronological order beginning with most recent award received).**E. Significant publications during the past 5 years (list in chronological order beginning with the most recent publication).****F. Current membership in professional or scientific societies, civic organizations, etc:****G. Categorize and describe any other significant biographical data pertinent to the award nomination.****II. Reason for Nomination (not to exceed 2-3 pages)****A. Summary of Achievement.****B. Additional facts and considerations which are pertinent to the nomination. Include examples of personal qualities of the nominee which make the achievement possible, if these qualities were not described in the summary of achievement.****III. Citation. Prepare a double spaced proposed citation for the signature of the Secretary of Defense containing from 50 to 65 words and highlighting the significance of the individual's achievements.****IV. Synopsis (see sample).****V. Instructions. Begin each major heading) i.e., Biographical Data, Reason for Nomination, Citation, and Synopsis) on a new page. Two photographs of the nominee are to be included in two of the nominating folders.**

Table 8-2. Factors for Consideration in Appraising Achievements in Materiel Acquisition*

Procurement and Production	Requirements		Research, Development, and Engineering
	Major Item Management	Secondary Item Management	
<ol style="list-style-type: none"> 1. Quality of procurement (e.g., source selection, suitability of contract types, quality of contractual instruments, suitability of price negotiations, timeliness of actions). 2. Extent and success of efforts to increase competition in procurement. 3. Quality of production management (overall management effectiveness in administration of contracts, timeliness of contractual & production actions, use of contractor management systems, dollar savings by close administration, and management effectiveness of quality control). 4. Initiative and originality employed in solving problems without regard to the dollar value of the procurements involved. 5. Noteworthy accomplishment that furthers Army objectives. 	<ol style="list-style-type: none"> 1. Actions to achieve early testing and fielding of equipment. 2. Reduction of acquisition costs through analysis of requirements, cost reduction or avoidance, and value engineering. 3. Improve item quality & cost through preparation of fully configured technical data packages. 4. Early identification of requirements reductions compatible with anticipated force structures. 5. Utilization of management techniques, e.g., DODI 7000.2 "Cost Schedule and Control System Criteria. 6. Development & implementation of policy to improve the acquisition process through sound planning, programing, and budgeting of weapons systems requirements for procurement, training, support, maintenance, and disposal. 	<ol style="list-style-type: none"> 1. Quality of the secondary item estimates for apportionment; the base program and annual program estimates submitted to higher headquarters. 2. Development of policies & procedures governing management and requirements determination, including acquisition, rebuild/overhaul and retrograde requirements, and line item stratification. 3. Efforts to develop retention policies at the major subordinate commands. 4. Improvement of an existing operating system in the secondary item area using existing resources. 5. Originality employed in: <ol style="list-style-type: none"> a. Reduction of inventory. b. Reduction of excess through materiel utilization. c. Accurate identification of parts for wholesale level stock. d. Reduction of zero balance items. e. Reduction of stock fund potential excesses. f. Solving problems in the secondary item area that furthers Army logistics objectives. 	<ol style="list-style-type: none"> 1. Collation and exploitation of foreign technical intelligence. 2. Program preparation, coordination, and management. 3. Management of international bilateral and multilateral research, development, and standardization programs. 4. Management of product engineering to include advance production engineering, engineering in support of production and procurement, military adaptation of commercial items and product improvement. 5. Management of research, exploratory development, and advanced development. 6. Management of research, development, and engineering in a specific commodity area. 7. Management of systems/projects.

*Not to be used as the total criteria for inclusion or exclusion of an achievement.

CHAPTER 9

AWARDS BY NON-FEDERAL ORGANIZATIONS

9-1. General. The Department of the Army is afforded the opportunity, at various times during each year, of nominating civilian employees for awards granted by non-Federal organizations to Federal employees who have made outstanding records in their Government careers. Headquarters, Department of the Army, requests nominations upon receipt of announcements from awarding organizations. However, there is sufficient similarity in standards of competition for each award from year to year to permit advance planning for nominations. Accordingly, action will be taken to establish procedures for early consideration of employees who meet awards criteria. Particular consideration should be given to employees who have been recommended for or who have received high level honorary awards or who have received outstanding performance ratings. This should not be interpreted to exclude from nomination employees who have not been given outstanding performance ratings, but who meet specific criteria for these awards.

9-2. Arthur S. Flemming Award. *a.* This award is made annually by the Junior Chamber of Commerce of Washington, DC, to ten outstanding young men and women in the Executive Branch of the Government who have performed outstanding and meritorious work for the Government. The award is made in two categories:

(1) Five to outstanding young men or women in scientific or technical fields; and

(2) Five to outstanding young men or women in administrative or executive fields.

b. Any civilian employee who has not reached his or her fortieth birthday before the last day of the year for which a recommendation is submitted, is eligible for consideration. (Commanders are authorized to re-

quest a waiver of age eligibility criterion in the submission of candidates for consideration by the Army Incentive Awards Board.)

c. The following general criteria will be considered in evaluating nominations:

(1) *Specific accomplishment.* A specific accomplishment for which the nominee is primarily responsible, resulting in a material improvement in service, a substantial financial savings, or significant social or technological progress.

(2) *General accomplishment.* Outstanding executive, scientific, or technical ability or outstanding performance evidenced by the nominee, even though such ability or performance is not necessarily connected with or related to a specific accomplishment or project.

(3) Administrative nominees should have demonstrated exceptional capabilities in any profession, be it law, personnel, science, etc. The scientist nominees should be carrying out research "at the bench" themselves. They may have administrative duties, but should be actively participating in the research projects under their supervision.

d. Each nomination must be submitted by 1 October each year on an official nomination form furnished by the Arthur S. Flemming Commission to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310. Nominations submitted on prior year official nomination forms or reproductions thereof will be accepted.

9-3. William A. Jump Memorial Award. *a.* This award is presented annually by the William A. Jump Memorial Foundation to one employee of the Federal Government, in recognition of outstanding service in the field of public administration, and for notable con-

tributions in this field to the efficiency and quality of the public service.

b. Any employee of the Federal Government who is under 37 years of age within the calendar year during which the nomination is submitted and whose performance over a considerable period of time demonstrates unusual competence and interest in public administration, endowment for leadership, creative thinking, and close adherence to the basic principles of enlightened public service, is eligible for consideration for this award. (Commanders are authorized to request waiver of age eligibility criterion in the submission of candidates for consideration by the Army Incentive Awards Board.)

c. The term "public administration" should be given the broadest reasonable interpretation covering all aspects of executive administrative direction and supervision and operation of Federal activities. It does not include achievements specifically of a scientific or technological nature or of attorneys in the practice of their legal profession. However, persons engaged in such specialized professional fields of work may be eligible for consideration. Their eligibility must be based on performance that involves general program and policy administration or organizational planning and executive or supervisory responsibility of sufficient administrative importance to warrant special recognition. Public administration includes personnel administration, budgetary and financial administration, administrative analysis, all management and administrative planning activities, and the executive planning and direction of programs.

d. Nominations for this award will be submitted by 15 November each year to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, through command channels, in original and five copies, typewritten, single-spaced, with new subject paragraphs double-spaced and numbered to correspond with the following:

- (1) Name, title, grade, and salary.
- (2) Department and major command.
- (3) Date of birth.
- (4) Home address (and legal voting address, if different).

(5) Educational background.

(6) Brief description of nominee, present duties and responsibilities, including the scope of his work, and a chronological review of any significant prior employment.

(7) Describe the past and present work performance of the nominee, including evidence of progressive development and personal qualities for leadership in public administration.

(8) Describe the specific accomplishments and contributions on which the nomination is based.

(9) Original and two copies of DA Form 1256 and seven copies of a photo, 8- by 10-inch glossy, will accompany each nomination.

e. Exhibit materials, such as copies of publications, may be attached, but all the basic information requested above should be included in the nomination itself. Only one complete set of exhibits and publications need be submitted.

f. There is no limit to the number of nominations that may be submitted. Each nomination must be personally indorsed by the major commander concerned.

9-4. National Civil Service League Career Service Award. a. This award is made annually by the National Civil Service League to ten career employees of the Federal Government, male or female, who exemplify in an outstanding manner the best characteristics of the career service. Selection is made on the basis of demonstrated—

(1) Efficiency and achievement on an exceptional level, with sustained superior performance and accomplishments.

(2) Character showing the highest order of integrity and devotion to the principles of public service.

(3) Service of at least 10 years (including military) with evidence of career progression.

b. Nominations for this award will be submitted by 1 September each year in original and six copies to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, through command channels in the following format:

(1) A written statement not more than five pages in length containing—

(a) Justification in detail in terms of primary considerations noted as the basis for selection.

(b) Human interest factors, especially related to the candidate's career that would give insight into his character.

(c) Comments on the candidate's participation in professional, social, and civic activities and organizations.

(2) Summary statement containing—

(a) Name, title, and grade.

(b) Organizational location and phone number.

(c) Residence address and phone number.

(d) Education and degrees (including names of schools).

(e) Length of service.

(f) Chronological synopsis of career service progression, showing title and Government organizations.

(g) Brief statement setting forth in summary the substantive achievements which qualify the candidate for consideration, and indicating the primary reason(s) for submitting the candidate's name.

(3) An 8- by 10-inch glossy photograph.

c. It is desirable, in support of a nomination for an award such as the National Civil Service League Career Service Award, that there be evidence of Department of the Army recognition of a high order. There is no limit to the number of nominations that may be submitted for consideration. Each nomination will be personally indorsed by the major commander concerned. An original and two copies of DA Form 1256 will accompany each nomination.

9-5. National Civil Service League Special Achievement Award. a. This award will be considered in conjunction with the National Civil Service League Career Service Award (para 9-4).

b. Selection is made on the basis of special accomplishment and evidence of an unusual, worthy activity in and for the public service which was developed and/or carried out by the nominee. This can be any or all of the following:

(1) Single one-time achievement.

(2) Series of successful projects.

(3) One project over a period of years.

c. Submission of nominations will be in accordance with procedures covered in paragraphs 9-4b and c.

9-6. Federal Woman's Award. a. This award is made annually by the Board of Trustees, Federal Woman's Award Program, to six outstanding career women in the Federal service, to provide special recognition and highlight the important work that women are going in executive, professional, scientific, and technical positions.

b. Any woman employee with not less than 3 years of continuous, full-time service in the competitive or excepted service, and who has attained a rank equivalent to a GS-9 of the classification Act of 1949 or above, is eligible for consideration for nomination for this award. Eligibility may be based upon achievements having an important effect on a major Government program, or it may be based upon the specific outstanding accomplishments which have made or are making an important contribution to administrative, social, scientific, or technical progress in the work of a Federal agency. Eligibility will further depend upon the demonstration of either leadership or sustained individual performance, showing a high degree of personal integrity, honesty, and judgment.

c. Specific examples and details of achievement must support each nomination. All information should be described in terms of factual data rather than opinion, and be in sufficient detail to be easily understood.

d. Nominations, personally indorsed by the major commander concerned, will be submitted by 1 November each year to HQDA (DAPE-CPL), WASH DC 20310, on the special nomination form used for this purpose. Distribution of the forms will be made upon receipt from the Federal Woman's Award Board of Trustees. Original and five copies of each nomination must be submitted.

e. The signature block on the form should be left blank. The signature of the Secretary of the Army will appear in this block on those nominations selected to represent the Department of the Army.

f. There is no limit on the number of nominations that may be submitted for consideration. Original and two copies of DA Form 1256 should accompany each nomination.

9-7. Rockefeller Public Service Awards. a. The Rockefeller Public Service Awards are given annually to men and women whose careers in the Federal Government have been marked by sustained excellence in service in five broad fields of Government activity. The five fields are:

(1) *Administration.* Activities, at home or abroad, involved in the overall management, or some important aspect of or support for the management of one or more large or complex organizations or programs. Every agency requires the services of those men and women who, in a variety of ways, keep the agency, whatever its mission, functioning efficiently and effectively. It is these persons, generalists or specialists, line or staff, that this field is intended to encompass.

(2) *Intergovernmental operations.* Activities, at home and abroad, which involve the Government of the United States with other governments, whether "international" or foreign, or American State or local. This field encompasses all those men and women whose work relates US Federal policies, plans, and programs to those of any of these other governmental entities. This work could as well be performed in Washington or Chicago or San Francisco as at the United Nations or Kabul or Montevideo. And these persons could as well, for example, be economists or chemists or public health doctors as lawyers or hydraulic engineers or foresters; they could as well be diplomats or communications specialists as agronomists or urban planners.

(3) *Human resource development and protection.* Activities, at home or abroad, which involve policy leadership, planning, or executing one or more programs concerned with human resources such as might protect or strengthen those innate characteristics within people, or their capabilities as individuals, which comprise their potential for living full and useful lives; or protect or better the structure and functioning of the soci-

ety. The activities here included are those which come as close as Government can come to the individual human beings it is designed or directed to serve. They relate to such conditions, characteristics, or services as education, mental and physical health, employment and economic condition, civil liberties and civil rights, morale, state of mind, consumer protection, etc. Obviously, a very wide spectrum of public officials would be eligible for consideration in this field.

(4) *Physical resource development and protection.* Activities, at home or abroad, which involve policy leadership, planning, or executing one or more programs concerned with preserving or bettering the physical conditions and quality of life; or the wise or proper use, or adequate conservation or replenishment of this nation's, or the world's natural resources; or the physical safety or comfort of persons. These activities are those which, in addition to concern with natural resources including food, are concerned with such matters as housing and other man-made environmental surroundings, transportation systems, recreation facilities, air and water quality, open space and natural beauty, etc. Again, the range of potential nominees is broad.

(5) *Professional accomplishment and leadership.* Activities, at home or abroad, which evidence the highest traditions of any of the many professions found within the Federal service, or extraordinary qualities of leadership, training, or guidance for younger or newer employees within their area of jurisdiction. Unlike the four preceding fields which are involved in the unique tasks of Government—formulating objectives, marshalling resources, and reconciling conflicting interest within the complex constraints of a government of limited and divided powers—this field is designed to recognize the man or woman whose distinction lies primarily in his or her professionalism. The nominee here could be an architect, engineer, lawyer, nurse, physician, scholar, scientist, or other professional. An individual may be nominated for accomplishment as a leader, teacher, mentor, and developer of talent, competence, and morale in others.

b. In recognition of outstanding individual accomplishments and to further public awareness of the degree to which excellence exists in the civilian career services of the Federal Government, an award of \$10,000 will be given to Rockefeller Public Service Award Winners in each of the broad fields of Government activity listed above.

c. Nominations for this award are limited to civilian men and women who have been in the employ of the Federal Government for a minimum of 10 years, and are not over the age of 60. (Commanders are authorized to request waiver of age eligibility criterion in the submission of candidates for consideration by the Army Incentive Awards Board.) While this award is designed primarily to honor civilian service, military service may be counted toward the 10 year minimum when assignments have paralleled those in the civilian sector. Employees serving by Presidential appointment in noncareer positions are eligible for the award only if it is apparent from their records that they achieved their present posts through demonstrated distinction and extended service in career positions.

d. Nominations should be submitted by 1 February each year to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, in original and five copies containing the following information:

- (1) Name, title, grade, and salary of nominee.
- (2) Department, command, and activity.
- (3) Date of birth.
- (4) Home address.
- (5) Brief description of nominee's present duties and responsibilities, including scope of work.
- (6) Description of specific accomplishments and contributions. Justification for the nomination should be complete and factual, free of minor detail, avoiding cautiously restrained language and stereotyped superlatives; emphasize the nominee's past accomplishments and future potential.
- (7) Four supporting letters from persons who know the candidate and his or her work intimately, who are both competent and willing to support the candidate upon inquiry by

the Committee. These letters may be submitted with the nomination or forwarded directly to the Rockefeller Public Service Awards, Woodrow Wilson Hall, Princeton University, Princeton, NJ 08540. In the event the latter procedure is utilized, the names of the four individuals submitting the supporting letters should be included in the nomination.

(8) Exhibit of materials, such as copies of publications, may be attached, but all of the basic information should be included in the nomination letters. Only one complete set of exhibits and publications need be submitted.

e. Each nomination will be personally endorsed by the major commander concerned, and will be accompanied by an original and two copies of DA Form 1256.

9-8. Federal Paperwork Management Award.

a. This award, made annually for outstanding leadership and professional excellence in prompting effective paperwork in the Federal Government, is sponsored by the Association of Records Executives and Administrators.

b. Paperwork, as envisioned by this award, covers the totality of office methods. It includes manual and automated record processing activities from creation, through arrangement and use, to final storage or destruction. It is the integral system part of administrative support work, management information flow, and written communications.

c. One or more awards may be given each year. All employees are eligible for consideration for this award. Nominations should be submitted by 1 May each year in original and five copies to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, as outlined below. Original and five copies of DA Form 1256 should accompany each nomination.

(1) Name, grade, title, and biographical sketch.

(2) Description of accomplishment—describe in general terms the work or contribution for which the nomination is being submitted.

(3) Scope of accomplishment—describe in terms of internal-agency, multi-agency, or Government-wide impact. If the work or con-

tribution involves Government paperwork as it affects the public and industry, this too should be covered.

(4) Results—describe separately both achieved and anticipated results. When possible, results should be expressed in terms of dollar savings, man-hour savings, equipment savings, or other measurable returns, such as new or expanded services, decreased time requirements, and increased management capabilities. Also cover intangible benefits when important.

9-9. Processing nominations. a. Nominations

initiated at the activity level should be processed by the pertinent Incentive Awards Committee in conformance with applicable portions of this chapter and forwarded to the appropriate major commander over the signature of the activity commander.

b. Evaluation of activity nominations should be made by the Incentive Awards Review Committee at the major command level and the most worthy candidates selected for forwarding to the Army Incentive Awards Board within the time limits specified. Nominations will be approved and indorsed personally by the major commander concerned.

July 1975

CHAPTER 10

PUBLIC SERVICE AWARDS

10-1. Presidential Medal of Freedom. *a.* The Presidential Medal of Freedom may be awarded in two degrees, the Presidential Medal of Freedom with Distinction (1st degree) and the Presidential Medal of Freedom (2d degree), to any person who has made an especially meritorious contribution to—

- (1) The security or national interests of the United States,
- (2) World peace, or
- (3) Cultural or other significant public or private endeavors.

b. Nomination for this award may be submitted by major commanders, as defined in paragraph 1-7c. Nominations will be submitted in letter form, original and five copies, to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, with documentation giving factual evidence that a highly significant service has been provided by the nominee. A proposed citation not to exceed 125 words will be included in the nomination. Individuals nominated for this award or the awards cited in paragraphs 10-2 through 10-5 should not be given a Department of the Army award for the same achievement unless the nomination for the higher level award is disapproved.

10-2. Presidential Citizens Medal. *a.* The Presidential Citizens Medal was established to recognize citizens of the United States who have served their country or their fellow citizens in an exemplary fashion. This medal may be bestowed by the President at his sole discretion upon any citizen of the United States.

b. Nomination for this award may be submitted in accordance with the procedures described in paragraph 10-1b.

10-3. Department of Defense Medal for Distinguished Public Service. *a.* The DOD Medal for Distinguished Public Service consists of a gold medal, a rosette, and a citation signed by the Secretary of Defense.

b. Nominee shall be a civilian—

- (1) Who does not derive his principal livelihood from Federal Government employment;
- (2) Who, at any time since enactment of the National Security Act of 1947, has performed distinguished service of significance to the Department of Defense as a whole, or has performed meritorious service of such significance to the Department of the Army that recognition at Secretary of the Army level is deemed insufficient; and
- (3) Whose service or assistance was performed at considerable personal sacrifice and inconvenience and was motivated by patriotism, good citizenship, and a sense of public responsibility.

c. Nominations for this award may be submitted in accordance with the procedures described in paragraph 10-1b.

10-4. Secretary of Defense Award for Outstanding Public Service. *a.* This award consists of a silver medal similar in design to the Department of Defense Medal for Distinguished Service (para 10-3), a rosette, and a citation signed by the Secretary of Defense.

b. This is the second highest award presented by the Department of Defense to civilians, and is presented to those whose contributions, assistance, or support to Department of Defense functions are extensive enough to warrant recognition beyond the Department of the Army, but of a more limited scope or impact than that required for award of the Department of Defense Medal for Distinguished Public Service.

c. Procedures for nominations are identical to those described in paragraph 10-1b.

10-5. Decoration for Distinguished Civilian Service. *a.* This award consists of a gold medal, rosette, and citation certificate signed by the Secretary of the Army.

b. This medal is awarded by the Secretary of the Army to private citizens, Federal Government officials at the policy development level, and technical personnel who serve the Army in an advisory capacity or as consultants, who render distinguished service which makes a substantial contribution to the accomplishment of the Army's mission.

c. (1) Nominations for this award may be submitted by major commanders, as defined in paragraph 1-7c. Nominations will be submitted to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310 in letter form, original and five copies, and will describe the project, research, or service rendered, the activity in which performed, and the dates of service. Justification should be specific as to the service rendered, clearly indicating the relationship and value of this service to the Army. Nominations should be submitted within 6 months from the end of the period of service to be recognized.

(2) Nomination of foreign nationals will be coordinated with the American Embassy to insure that the award will be consistent with the interests of the United States. A statement as to the coordination should be included in the nomination.

(3) A proposed citation not to exceed 95 words will accompany the nomination.

10-6. Outstanding Civilian Service Award. *a.* This award consists of a bronze medal, rosette, and citation certificate.

b. This medal may be awarded by the Secretary of the Army or a major commander, as defined in paragraph 1-7c, to private citizens, Federal Government officials at the policy development level, and technical personnel who serve the Army in an advisory capacity or as consultants, who render outstanding service which makes a substantial contribution or is of significance to or within the major

command concerned. Nominations for this award for Civilian Aides to the Secretary of the Army will be submitted to the Secretary of the Army for approval.

c. (1) The format for nominations for this award will be similar to that covered in paragraph 10-5c. Nominations should be submitted to approving authority within 6 months of the end of the period of service to be recognized.

(2) Nominations of foreign nationals will be coordinated with the American Embassy to insure that the award will be consistent with the interests of the United States. A statement as to the coordination should be included in the nomination.

10-7. Laurel Leaf Cluster. A bronze, silver, or gold sprig of three laurel leaves and berries symbolizing civilian honors, achievement, and service will be used to indicate second, third, and fourth awards respectively of the Decoration for Distinguished Civilian Service and the Outstanding Civilian Service Award. Medals will be presented with the proper cluster affixed, centered on the suspension ribbon, the leaves pointing upward.

10-8. Department of Defense Meritorious Award. *a.* This award consists of a certificate signed by the Secretary of Defense.

b. This award may be granted to organizations (including corporations, associations, and other groups) for outstanding contributions to the national defense effort involving the material furtherance of an established Department of Defense program and requiring considerable effort on the part of the organization concerned in the planning and execution of the service rendered. This award will not be used to recognize the efforts of industrial organizations which meet or exceed Department of Defense production quotas. Under no circumstances will organizations be advised that they are under consideration for this award.

c. Nominations for this award may be submitted by major commanders, as defined in paragraph 1-7c, in accordance with the procedures prescribed in paragraph 10-1b.

10-9. Certificate of Appreciation for Patriotic Civilian Service. *a.* This award consists of a certificate and lapel button. It may be awarded by the Secretary of the Army or a major commander, as defined in paragraph 1-7c, in recognition of patriotic civilian service rendered, which contributes to the mission of an activity command or staff agency of the Army, or to the welfare of Army personnel. This authority may be redelegated to subordinate commanders at the discretion of the major commander concerned.

b. This certificate may be awarded to a private citizen or official of the Department of the Army at the policy development level. It may also be awarded, on the same basis as for individuals, to groups, including employees, business firms, fraternal organizations, and quasi-military units.

c. The lapel button will accompany the certificate only when the award is presented as an individual award.

CHAPTER 11

PAYMENT, PROGRAM PROMOTION, AND REPORTS

11-1. Payment of awards. *a.* The approval of the awarding authority or his authorized representative will be transmitted to the Finance and Accounting Officer as authority for payments.

b. All cash awards, whether to civilian or military personnel, will be financed from the operation and maintenance type funds locally available for operating the installation, command, or equivalent organization of the commander who approves or, in the case of an award which requires approval above the installation level, recommends the award. An exception to this will apply for industrially funded activities. Awards to personnel of these activities will be charged as an operating expense of the industrial fund activity which approves or recommends the award.

c. (1) Monetary awards will be paid at the earliest practicable date after the adoption of a suggestion or approval of any other cash award. The transfer of personnel after recommendation of an award which requires higher echelon approval does not change the financial responsibility of the recommending organization. It is the responsibility of the losing command to forward, through channels, to the new employing installation or duty station all papers pertinent to the payment of the award, including the citation of funds from which the award will be paid. Payment for civilian employees will be made in accordance with AR 37-105. Payment for military personnel will be made by means of SF 1034 (Public Voucher for Purchases and Services Other Than Personnel) in accordance with AR 37-107.

(2) Payment of cash awards to military personnel under the provisions of this regulation will be recorded and paid on SF 1034. Civilian Personnel Offices will provide Finance and Accounting Offices with three

copies of the DA Form 2441 (Suggestion Award Certificate) as a basis for processing suggestion cash awards to military personnel. Only one copy of this form is required for processing payment to civilian employees.

(3) Cash awards are considered obligations which must be met, except where the granting of an award would cause an over-obligation as defined by Section 3679, Revised Statutes.

d. The Internal Revenue Code provides that a cash award will be treated as additional compensation. Tax will therefore be withheld from all award payments to civilian and military personnel. Federal income tax for civilian employees and military personnel will be computed and withheld as prescribed in paragraph 2-93, AR 37-105. Taxes withheld from military personnel will be accounted for and paid to the Internal Revenue Service in the same manner as prescribed for payment of taxes withheld from civilian payrolls. At the time of payment, the Finance and Accounting Officer will issue Form W-2 to the military program personnel showing the gross amount of the cash award and the amount collected for tax.

e. Cash awards may be paid to eligible personnel who submit meritorious ideas or suggestions which result in improvements or economies in the operations of a military department in addition to, or other than, the one in which employed or performing duty. The full amount of the award, less tax, will be paid by the benefiting military department.

f. Governing legislation provides for payment of cash awards on the basis of benefits accruing to one or more departments or Federal agencies resulting from available contributions by eligible personnel of another department of agency. The following procedures will apply in making payments for

awards to employees of agencies outside the Department of Defense and to Army personnel by agencies outside the Department of Defense.

(1) When making an award for an adopted suggestion to an Army employee for benefits to another Federal agency, upon notification of adoption of suggestion, the employing Department of the Army activity will prepare and forward SF 1080 to the benefiting Federal agency, which will remit the amount of the award to that activity. Upon receipt, this remittance will be credited to deposit fund account 21X6875, Suspense, Department of the Army, and action taken to make cash award to the employee.

(2) When making an award for an adopted suggestion to an employee of another Federal agency for benefits to the Army, the benefiting Department of the Army activity will remit to the suggester's agency the amount of the award from available funds.

g. Procedures for award payments within the Department of Defense will be identical to those cited in paragraph *f* above with the following exceptions:

(1) Awards determined to be less than \$100 will be financed by the submitting rather than the adopting component.

(2) When more than one component is considering a suggestion, the award will not be financed until all necessary evaluations have been received by the submitting Department of the Army office. Ideas determined to be of value to the Department of the Army office. Ideas determined to be of value to the Department of the Army will, however, be adopted and awards paid, based upon the appropriate scale in chapter 2, without awaiting the results of other organizations' evaluations. Upon receipt of all required evaluations, savings will be computed in accordance with tables 2-1 in chapter 2, and each adopting component apprised of its award obligation. The portion of the total award chargeable to each adopting component will be in direct proportion to the percentage of the total first year tangible savings realized by the component.

(3) When more than one component is considering a suggestion from which intangi-

ble benefits may be realized, the award will not be financed until all necessary evaluations have been received and a total evaluation made by the appropriate Department of the Army office. The Department of the Army office which submitted the suggestion for evaluation will endeavor to work out an equitable agreement with their counterpart offices in adopting components as to the amount each component is to finance. If appropriate award amounts cannot be agreed upon, the submitting office of the Department of the Army will refer the matter to HQDA (DAPE-CPL) WASH DC 20310 for assistance in reaching an equitable solution.

h. (1) When payment of an award is authorized after an individual has separated from employment or military service, efforts will be made to reach him at his last known address, if available. In the case of military personnel separated from the service, when no address is available at the local installation, all substantiating documents pertaining to the award, including a citation to the accounting classification will be forwarded to the US Army Finance & Accounting Center, ATTN: Settlements Operations, Indianapolis, IN 46249 for further action and payment.

(2) In the event of death, the unpaid award will be treated as an amount due and processed in accordance with applicable provisions of regulations pertaining to amounts due deceased employees. This includes retired personnel, provided that activities in the public interest supporting the award were made or rendered while the individual was in Government employment or the military service.

11-2. Promotional materials. Maximum use will be made of all forms of promotional media and materials in order to create and maintain interests in the Army Incentive Awards Program. Subject to the provisions of the Army regulation governing printing and reproduction (AR 310-1), promotional material may be developed by major commanders for distribution to subordinate commanders. Locally developed promotional material should be keyed to subjects of particular interest to the issuing command or activity.

11-3. Incentive Awards Program Annual Report, Reports Control Symbols 1059-CSC-AN-T and DD-M(A) 1345. *a.* The Incentive Awards Program reports will be prepared on a fiscal year basis, using SF 69, Incentive Awards Program Annual Report, for civilian employees and DD Form 1609, Incentive Awards Program Annual Report, for military personnel. Local reproduction of SF 69 (Fig 11-1) and DD Form 1609 (Fig 11-2) paper is authorized. SF 69 will be reproduced head to head on 8- by 10½-inch paper. DD Form 1609 will be reproduced head to foot on 8- by 10½-inch paper.

b. The report will be prepared by each operating Civilian Personnel Office and will cover all Army civilian employees serviced by the Civilian Personnel Office, regardless of command jurisdiction, and all military personnel within the incentive awards processing responsibility of that operating Civilian Personnel Office. Civilian Personnel Offices

outside the United States will prepare separate SF 69 for:

(1) US citizen employees.

(2) Non-US citizen, direct-hire employees paid from appropriate funds for personal services.

c. Feeder reports will be consolidated at command level. Commanders will forward an original only of the consolidated SF 69 and DD Form 1609 to US Army Civilian Personnel Field Operations Agency (PECP), WASH DC 20314, not later than the 12th working day after the end of the fiscal year.

d. All actions pertaining to a contribution will be reported by the Civilian Personnel Office servicing the activity at which the contribution originated. Awards which have been finally approved by the responsible approving authority will be included, regardless of whether payment has been made to the employee.

(Locate figures 11-1 and 11-2, fold-in pages, at end of regular size pages and insert following this page.)

CHAPTER 12

PROCUREMENT OF RECOGNITION DEVICES AND FORMS

★12-1. **Honorary awards and other recognition devices.** *a.* The organizations or individuals listed below will requisition annually the honorary awards and other recognition devices discussed in chapter 8, except as indicated in *b* below, from HQDA (DAPE-CPL), WASH DC 20310:

Office, Secretary of the Army

HQDA (DAAG-ZA)

HQDA (DAEN-CPZ)

Commander in Chief

US Army Europe and Seventh Army

Commanders

US Army Training and Doctrine Command

US Army Forces Command

US Army Materiel Development and Readiness Command

US Army Intelligence and Security Command

US Army Communications Command

Military Traffic Management Command

US Army Military District of Washington

US Army Health Services Command

Eighth US Army

US Army, Japan

US Army Recruiting Command

US Army Finance and Accounting Center

Superintendent, US Military Academy

The Auditor General

b. Commander's Award for Civilian Service. Commands and activities will requisition the medal and lapel emblem set citing Federal Stock Numbers DACH30-76-M-7066 on an annual basis from Commander, US Army Support Activity, ATTN: STSAP-SE, 2800 South 8th Street, Philadelphia, PA 19101.

★12-2. **DA Forms 2442, 2443, 4592, and 4689.** *a.* Commands and activities will requisition the following forms from the Commander, US Army AG Publications Center, 2800 Eastern Boulevard, Baltimore, MD 21220:

(1) DA Form 2442, Certificate of Achievement.

(2) DA Form 2443, Commendation Certificate.

(3) DA Form 4592, Department of the Army Promotion Certificate.

(4) DA Form 4689, Commander's Award for Civilian Service.

(An initial distribution of DA Form 4689 will be made automatically to each operating CPO.)

b. Due to the relatively high cost of these certificates, special care should be exercised to avoid spoilage in preparation for presentation.

INCENTIVE AWARDS PROGRAM ANNUAL REPORT

Fiscal Year Ending June 30, 19...

A report is required by the U.S. Civil Service Commission Regulations (Part 451), and is used by the Commission for reporting to the President and Congress.

July 1975

REPORTING AGENCY	LOCATION OF REPORTING AGENCY <i>(If outside Washington, D.C. Metropolitan area)</i>
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INSTRUCTIONS

1. Report awards separately for tangible and intangible benefits. If an award was based on combined benefits, record the award under awards for "Tangible Benefits" only.
2. Count only one award per case. A group award is counted as one award. Do not count a supplemental award as another award case.
3. Include the dollar amount of supplemental awards under the "Amount of Awards" column.
4. For "Non-Cash Awards", include certificates of commendation or other tokens of appreciation for contributions that were approved but did not meet the criteria for cash or honorary awards. Do not count awards for private citizens' contributions.
5. For "Honorary Awards", count any medals, plaques, certificates, or other symbols of honor (without cash) which bestow significant honor on the awardee. If cash is awarded *with* the honor, do not count the award as "honorary" but count it as a cash award only. Do not include length-of-service awards on this report.
6. For the number of suggestions received, count only the initial receipt of cases from employees of your agency. Do not count requests for consideration of cases already processed.

PART A.—AWARDS

FOR SUGGESTIONS	FOR TANGIBLE (MEASURABLE) BENEFITS			FOR INTANGIBLE BENEFITS	
	NUMBER OF AWARDS	TANGIBLE BENEFITS	AMOUNT OF AWARDS	NUMBER OF AWARDS	AMOUNT OF AWARDS
NON-CASH AWARDS		\$			
CASH AWARDS		\$	\$		\$
HONORARY AWARDS		\$			
FOR SPECIAL ACHIEVEMENTS					
NON-CASH AWARDS		\$			
CASH AWARDS		\$	\$		\$
HONORARY AWARDS		\$			

No. of suggestions on hand at the beginning of the fiscal year _____

No. of suggestions pending at the end of the fiscal year _____

No. of suggestions received _____ Adopted _____ Not Adopted _____

PART B.—INTERDEPARTMENTAL REFERRAL OF SUGGESTIONS

Refer to paragraph 3-8, Chapter 451, FPM, for description of suggestions referred to other departments (IDR's).

NUMBER OF CASES REFERRED TO ANOTHER AGENCY	NUMBER OF CASES WITH ADOPTIONS BY OTHER AGENCY	TOTAL BENEFITS FROM ADOPTIONS BY OTHER AGENCIES	TOTAL AWARDS BY OTHER AGENCIES
		\$	\$

AR 672-20

Figure 11-1.

PART C.—S U R V E Y

NOTE.—Information in this part is to be reported when requested at beginning of Fiscal Year (Generally not more often than every three years).

EMPLOYEES	NO OF CASH AWARDS**		AVERAGE NUMBER OF EMPLOYEES FOR THE F.Y.
	SUGGESTION OR INVENTION	SPECIAL ACHIEVEMENTS	
GENERAL SCHEDULE GS-6 AND BELOW			
GS-7 THRU 11			
GS-12 AND ABOVE			
TOTAL			
ALL OTHER *SALARIES EQUIVALENT TO GS-6 OR LESS			
SALARIES EQUIVALENT TO GS-7 THRU GS-11			
SALARIES EQUIVALENT TO GS-12 AND ABOVE			
TOTAL			

* "All other" means all employees paid under other than the General Schedule, such as wage board, foreign service, postal, etc.
 ** For group recognitions show individual contributors by appropriate grade or equivalent salary.

PART D.—NARRATIVE EVALUATION OF PROGRAM

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

1. Were there any significant problems encountered in program administration (explain)?
2. What was done to overcome these problems?
3. What proposals do you have for the consideration of the Commission regarding changes in policies, regulations, instructions, or guidance material?
4. What plans do you have for next fiscal year to increase program effectiveness?
5. What techniques did you find particularly effective in the fiscal year concluded?
6. What significant results were achieved (not covered by statistics)?
7. Please supply a one paragraph description of awards of \$1,000 or more. (Include also the name, grade, title, organization, and geographical location).
8. What effective use was made of honorary awards for citizens' achievements? Please include the name, location, and a brief statement of the contribution of those which have special interest.
9. What effective use was made of honorary awards for achievements in fostering equal employment opportunity? Please include brief statements of contributions of special interest, with the names of recipients, job titles, and locations.

PART E.—SUPPLEMENTAL REPORT ON QUALITY INCREASES

	NO. GRANTED
GS-6 AND BELOW	
GS-7 THRU 11	
GS-12 AND ABOVE	
TOTAL	

**INCENTIVE AWARDS PROGRAM ANNUAL REPORT
(MILITARY PERSONNEL)**

SCAL YEAR ENDING

June 30, 19

REPORT CONTROL SYMBOL
DD-M(A)1345

This report is required by the Department of Defense for reporting to the President and Congress in accordance with 10 USC 1124. (Ref.: DoD Instruction 5120.16)

TO

REPORTING DEPARTMENT OR AGENCY

INSTRUCTIONS

- 1 Report awards for combined measurable and intangible benefits under "Tangible Benefits"
- 2 Count only one award per case Do not include a count for supplemental awards
- 3 Include the dollar amount of supplemental awards under the "Amount of Awards" Column.

- 4 Include as Non-Cash Awards, any Certificates of Appreciation, special citations, etc. approved as meaningful awards under the Incentive Awards Program
5. For the number of suggestions received, count only the initial receipt of cases from personnel of your department Do not count requests for reconsideration of cases already processed.

PART A - AWARDS FOR SUGGESTIONS

AWARDS	FOR TANGIBLE (MEASURABLE) BENEFITS			FOR INTANGIBLE BENEFITS	
	NUMBER OF AWARDS	TANGIBLE BENEFITS	AMOUNT OF AWARDS	NUMBER OF AWARDS	AMOUNT OF AWARDS
NON-CASH AWARDS		\$			
CASH AWARDS		\$	\$		\$
TOTAL		\$			
SUGGESTIONS	NUMBER OF SUGGESTIONS				
	ON HAND AT BEGINNING OF YEAR	RECEIVED	ADOPTED	DISAPPROVED	PENDING END OF YEAR

PART B - AWARDS FOR INVENTIONS

AWARD TYPES	NUMBER OF AWARDS	AMOUNT OF AWARDS	TANGIBLE BENEFITS
\$50 INITIAL AWARD BASED ON INVENTION DISCLOSURES		\$	
\$100 AWARDS BASED ON PATENTS ISSUED		\$	
ADDITIONAL AWARD		\$	\$
TOTAL		\$	

PART C - AWARDS FOR SCIENTIFIC ACHIEVEMENTS

AWARDS BASED ON SCIENTIFIC ACHIEVEMENTS	FOR TANGIBLE (MEASURABLE) BENEFITS			FOR INTANGIBLE BENEFITS	
	NUMBER OF AWARDS	TANGIBLE BENEFITS	AMOUNT OF AWARDS	NUMBER OF AWARDS	AMOUNT OF AWARDS
NON-CASH AWARDS		\$			
CASH AWARDS		\$	\$		\$
TOTAL		\$			

PART D - DISTRIBUTION OF CASH AWARDS

	SUGGESTIONS		INVENTIONS		SCIENTIFIC ACHIEVEMENTS		AVERAGE NUMBER OF PERSONNEL ON BOARD IN FISCAL YEAR
	NUMBER OF AWARDS	AMOUNT PAID	NUMBER OF AWARDS	AMOUNT PAID	NUMBER OF AWARDS	AMOUNT PAID	
ENLISTED PERSONNEL		\$		\$		\$	
OFFICER PERSONNEL		\$		\$		\$	
TOTAL		\$		\$		\$	

PART E - INTERDEPARTMENT			REFERRAL OF SUGGESTIONS			
	NUMBER CASES REFERRED TO ANOTHER DEPARTMENT OR AGENCY	NUMBER CASES WITH ADOPTIONS BY ANOTHER DEPARTMENT OR AGENCY	TOTAL AMOUNT		NUMBER CASES DISAPPROVED	NUMBER CASES PENDING AT END OF YEAR
			TANGIBLE BENEFITS FROM ADOPTION BY OTHER DEPARTMENTS/ AGENCIES	AWARDS PAID BY OTHER DEPARTMENTS/ AGENCIES		
OUTSIDE DEPARTMENT OF DEFENSE			\$	\$		
WITHIN DEPARTMENT OF DEFENSE			\$	\$		
TOTAL			\$	\$		

PART F - DESCRIPTION OF SIGNIFICANT CONTRIBUTIONS

Attach a one-paragraph description of each suggestion for which an award of \$1,000 or more was paid. (Include name, rank, installation and/or command, and location.) Also provide brief description of noteworthy inventions and scientific achievements for which awards were granted.

PART G - NARRATIVE EVALUATION

Prepare a narrative evaluation of the incentive awards program for military personnel in your component. Include the following topics plus any additional significant information (If more space is required, continue on an additional sheet and attach):

<ol style="list-style-type: none"> 1. Significant problems encountered and action taken to overcome them. 2. Particularly effective techniques used. 3. Significant results achieved (other than those reflected in statistics). 	<ol style="list-style-type: none"> 4. Plans for increasing program effectiveness during next fiscal year. 5. Proposals for DoD consideration regarding changes in policies, instructions, etc.
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DATE	TYPED NAME AND TITLE OF REPORTING OFFICIAL	SIGNATURE
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Figure 11-2-Continued.

The proponent agency of this regulation is the Office of the Deputy Chief of Staff for Personnel. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAPE-CPL) WASH DC 20310.

By Order of the Secretary of the Army:

FRED C. WEYAND
General, United States Army
Chief of Staff

Official:

VERNE L. BOWERS
Major General, United States Army
The Adjutant General

Distribution:

Active Army, ARNG, USAR: To be distributed in accordance with DA Form 12-9A requirements for AR, Decorations, Awards and Honors-B (Qty Rqr Block No. 491).

s/s

Pages

22 July 1977

5/5 ref chg 4
15 March 80

C 2, AR 672-20

★1045, suggestions to incentive awards office or to a designated suggestion coordinator. DA Form 1045-R-Privacy act statement, will be made available to individual completing DA Form 1045 (fig. 2-1). Local reproduction of DA Form 1045-R-PAS is authorized on 8- by 10 $\frac{1}{2}$ -inch paper. This form will be used to comply with the provisions of the Privacy Act of 1974. Suggestions pertaining to publications or equipment improvement may be submitted by attaching a completed DA Form 2028, Recommended Changes to Publication and Blank Forms, or DA Form 2407, Maintenance Request (Equipment Improvement Report), respectively, to the DA Form 1045 which will have the identifying items completed.

b. Each suggestion received by the incentive awards office will be checked against incentive awards files to avoid the possibility of duplicate awards. All suggestions received which meet the eligibility criteria (para 2-2) will be assigned a number and a meaningful title and acknowledged promptly. The number and title will be used as the subject of any correspondence initiated in connection with processing of the suggestion.

c. A suggestion will be returned to the suggester by the Incentive Awards Office without assignment of a number and title when it fails to meet the eligibility criteria (para 2-2).

d. Suggestions which meet the eligibility criteria will be referred promptly to the office of primary interest at the installation level for investigation, evaluation, and report as to adoption.

2-4. Evaluation procedure. a. Suggestions will be evaluated as expeditiously as possible using DA Form 2440, Suggestion Evaluation. Full consideration will be given to the suggestion and any developments directly attributed to the suggestion. When it is determined that evaluation cannot be completed within 30 working days after receipt of the suggestion, the suggester will be so informed by the incentive awards office and furnished interim progress reports either in writing or by telephone. Reasons for the extended evaluation time should be given.

b. (1) When a suggestion is desirable and practicable, and within the authority of the evaluator to adopt, the evaluation report (DA Form 2440) will include a commitment as to how and when it was or will be placed in operation; an estimate of the annual savings and benefits, together with an explanation of the method used in

making this determination; an explanation of the type and relative importance of intangible benefits, if any, such as increased safety, improved working conditions, benefits to health or morale; a statement as to the extent of application; and, where applicable, an estimate of off-setting costs of implementing the suggestion.

(2) If a suggestion is considered desirable and practical but cannot be adopted locally, the office of primary interest will forward it, with its evaluation on DA Form 2440, to the next higher echelon office of primary interest having jurisdiction over the subject matter. A copy of the evaluation will be furnished the local incentive awards office as advice of the suggestion referral. Even though an evaluating office does not have final authority to adopt a suggestion, it is required that each echelon to which a suggestion is appropriately referred make a complete evaluation. Inclusion of complete evaluations on DA Form 2440, recommending adoption, is necessary and helpful to the final evaluating authority.

(3) Suggestions to be considered within the Office of the Secretary of Defense should be forwarded to the office of primary responsibility. All such referrals should contain (a) a clear concise statement as to what action is expected of the evaluator; and (b) a positive recommendation as to whether or not the idea should be adopted and reasons therefor. Coordination with the other military departments and/or other Defense agencies is to be done by the appropriate office within OSD.

(4) Suggestions considered of value to, or requiring evaluation by, other agencies of the Department of Defense will be reviewed by the concerned staff agency and referred directly to its counterpart office in the other agency(ies).

(5) Suggestions requiring technical evaluation by departments or agencies of the Federal Government, other than the Department of Defense, will be reviewed by the concerned Army staff agency, and forwarded to HQDA (DAAG-AMO-P), WASH DC 20314, for appropriate referral.

(6) A suggestion which is undesirable or impractical may be rejected at any level, regardless of whether the evaluator has authority to adopt and implement the suggestion. Evaluators should not forward suggestions to higher echelons unless they are considered desir-

able and practicable. If the evaluator is uncertain of the suggestion's value, he should forward the suggestion for further evaluation. In no instance will a suggestion be rejected solely on the basis that official Department of the Army publications do not permit its adoption.

2-5. Basis for granting cash awards. *a.* Cash awards will be granted for suggestions adopted wholly or in part, which result in tangible monetary savings, intangible benefits, or a combination of both, in accordance with the criteria contained in paragraphs 2-7 and 2-8. In order for a suggestion to be recommended for an award in excess of \$5,000, the idea in the suggestion must be original to the Army as a whole. If the suggestion is submitted by two or more eligible persons, the total of the cash award will not exceed the amount that would be authorized for a similar individual award.

b. Cash awards for adopted suggestions submitted by two or more eligible persons will be paid as follows:

(1) If the members of the group have participated on a substantially equal basis, each individual will receive an equal share of the total award.

(2) If the degree of contribution differs materially, each individual will receive a share of the total group award in proportion to his contribution, as determined by the management official most knowledgeable of the relative contributions of the suggesters.

c. In cases where delays will be necessary in order to determine the full value of an adopted suggestion or before the suggestion can be implemented, an initial award may be made on a conservative estimate of the anticipated value of the contribution or upon the value of the local adoption. No adjustment downward in this initial award is authorized when a final determination is made of the value of the contribution.

d. Suggestion Award Certificate, DA Form 2441, will be prepared and issued to military and civilian personnel for all cash awards for adopted suggestions.

e. Cash awards of \$100 or more for adopted suggestions should be accompanied by the Department of the Army Commendation Certificate (DA Form 2443).

2-6. Authority to grant cash awards. *a.* Activity commanders may grant cash awards up to and including \$1500 (individual and group) computed in accordance with the criteria contained in paragraphs 2-7 and 2-8. Adopted suggestions which warrant awards in excess of \$1500 must be forwarded with nomination and pertinent information to the appropriate major commander for his approval prior to payment of a monetary award at the activity level. The nomination will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, and the determination made with respect to his eligibility for a cash award.

b. Major commanders may grant awards computed in accordance with paragraphs 2-7 and 2-8 up to and including \$5000 (individual and group), inclusive of awards granted by activity commanders, for tangible benefits, intangible benefits, or a combination of both. Nominations for cash awards in excess of \$5000 must be forwarded to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310 for approval by the Board prior to payment of monetary award at the activity or major command level. Nominations will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, the determination made with respect to his eligibility for a cash award, and the determination that the suggestion is original to the Army as a whole.

2-7. Cash awards for adopted suggestions which result in tangible monetary savings. *a.* Cash awards for tangible monetary savings may be

granted on the basis of actual or estimated savings (i.e., dollar benefits in the first year of implementation less offsetting costs of installation) as follows:

(1) Actual dollar savings in terms of man-hours or personnel spaces;

(2) Extent of increased output at the same cost; or

(3) Materials or other resources saved in specific terms. The costs included in the savings computations should represent actual labor costs or average salary costs used for budgeting purposes. Overhead or indirect costs and related payroll costs, such as Government contributions for retirement, social security, health, and life insurance, will not be included in computations as savings. The amount of such savings will be calculated normally on the basis of estimated net monetary benefits for the first full year of operation following adoption, installation, or application of the particular suggestion. Where an improvement with a high installation cost will yield measurable savings beyond the first year, the amount of such savings may be based on the average of net annual savings over a period of the first 3 to 5 years. This figure may not exceed either the reasonable life of the initial installation or the clearly predictable period of use, whichever is the shorter.

b. The amount of the cash awarded to eligible personnel for adopted suggestions in this category will be determined in accordance with the scale shown in table 2-1. An adopted suggestion with less than \$250 in benefits will be recognized by a letter of appreciation or a locally devised certificate.

c. Awards will be computed based upon the addition of savings at each successive level to all those previously recorded. The total award covering all adoptions is based on the scales in tables 2-1 and 2-2 appropriate to the total savings and benefits realized. This method of computation is equally applicable to both tangible and intangible benefits.

2-8. Cash awards for adopted suggestions which result in intangible benefits.

a. By their very nature, awards in this category are recommended on the basis of

judgment rather than precise facts and provable calculations. It is important, therefore, that award recommendations be reviewed in light of their intrinsic merit and all relevant precedents and that approval of awards and amounts thereof be as fair and consistent as possible.

b. Recommendations for awards in this category will include justification on the basis of the following:

(1) *Value of Benefit.*

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

(b) *Substantial Potential Value*—Substantial change or modification of an operating principle or procedure; an important improvement to the quality of a product, activity, program, or service to the public.

(c) *High Potential Value*—Complete revision of a basic principle or procedure; a highly significant improvement to the quality of a product, major activity, or program, or service to the public.

(d) *Exceptional Potential Value*—Initiation of a new principle or major procedure; a superior improvement to the quality of a critical activity, program, or service to the public.

(2) *Extent of Application.*

(a) *Limited*—Affects functions, missions, or personnel of one office, facility, installation, or an organizational element of a headquarters; affects a small area of science, technology, or major programs.

(b) *Extended*—Affects functions, missions, or personnel of several offices, facilities, or installations; affects an important area of science, technology, or major programs.

(c) *Broad*—Affects functions, mission, or personnel of an entire regional area or command; affects a broad area of science or technology or a major program.

(d) *General*—Affects functions, mission, or personnel of several regional areas or commands, or an entire department of a large

agency, or is in the public interest throughout the nation or beyond.

c. The scale shown in table 2-2 will be used as a guide in determining the amount of awards for intangible benefits. If an adopted suggestion with intangible benefits in a moderate-limited category does not compare favorably with a suggestion involving tangible benefits of at least \$250, no cash award is in order. In such cases, a letter of appreciation or a locally devised certificate may be used.

2-9. Request for reconsideration. a. A suggester may request reconsideration of a suggestion that has been rejected upon the presentation of new and/or additional information or documentation of an error of fact which would have a material effect upon the evaluation. Such requests must be submitted to the local incentive awards office within 45 days of the final decision not to adopt the suggestion. Requests for reconsideration which merely state disagreement or dissatisfaction with the evaluation will be returned without action. Requests will be submitted through the same evaluation channels that the suggestion passed to one command echelon above the rejecting official. In instances where the rejecting authority was at Headquarters, Department of the Army level, reconsideration will be granted at that level. No reclaims or further requests for reconsideration on the same suggestion will be accepted. The reconsideration of a suggestion which has previously been rejected will not serve as a basis for extending proprietary rights.

b. A suggester may request an investigation and report if he believes that official action has been taken to implement all or a portion of the suggestion during the period for which proprietary rights have been granted. The request must cite the regulation, directive, or action which impeded the suggestion and be submitted through the same channels as the original suggestion. If a direct relationship can be established between the suggestion and official action to implement the idea(s) in the suggestion, the suggester will be given appropriate recognition in accordance with tables 2-1 and 2-2.

2-10. Program guidance. a. Determinations of whether a suggestion is within the suggester's job responsibility or exceeds the applicable performance are properly a management decision. In making such a determination, consideration will be given to the suggester's job description, standards of performance, organization and functional manuals, and other documents which may assist in defining the normal expectation of performance. The amount of savings alone should not be used to determine an employee's eligibility for an award since, in many positions, the accomplishment of large savings often results from normal performance of duties. In controversial cases, a commander may use the Incentive Awards Committee to consider these issues and advise him. Final authority for such determinations rests with the activity commander.

b. Personnel should be encouraged to submit job-related ideas and proposals related to factors such as housekeeping practices, personal comfort, employee services and benefits, either orally or in writing, to their immediate supervisor.

c. Suggestions should be evaluated promptly. Evaluations should be recorded on DA Form 2440. Reasons for adoption or rejection and computation of estimated benefits should be stated concisely and completely, and indicate serious consideration of the suggestion. Rejections should be worded in such a way as to encourage further participation by the suggester. Incentive Awards Administrators may return evaluations which are incomplete or inappropriate for further documentation.

d. Commanders may delegate to directors (normally management officials reporting directly to the commander) and Incentive Awards Administrators authority to give final approval for suggestion awards up to and including a specific dollar amount to be established at the discretion of the commander. Incentive Awards Committees will be used to advise the commander when the recommended award exceeds either the authority delegated to directors or the commander's authority.

Table 2-1

<i>Savings</i>	<i>Award</i>
\$250 -----	\$25
.\$251-\$1,000 -----	\$25 for the first \$250 in benefits plus \$5 for each additional \$50 or fraction thereof.
\$1,001-\$10,000 -----	\$100 for the first \$1,000 in benefits plus \$5 for each additional \$100 or fraction thereof.
\$10,001-\$20,000 -----	\$550 for the first \$10,000 in benefits plus \$5 for each additional \$200 or fraction thereof.
\$20,001-\$100,000 -----	\$800 for the first \$20,000 in benefits plus \$5 for each additional \$1,000 or fraction thereof.
\$100,001 or more -----	\$1,200 for the first \$100,000 in benefits plus \$5 for each additional \$5,000 or fraction thereof.

Note. The maximum award is \$25,000.

Table 2-2

	Extent of application			
	Limited	Extended	Broad	General
Moderate Potential Value	\$ 25- 50	\$ 50- 100	\$ 100- 200	\$ 200- 400
Substantial Potential Value	50-100	100- 200	200- 400	400-1,000
High Potential Value	100-200	200- 400	400-1,000	1,000-2,500
Exceptional Potential Value	200-400	400-1,000	1,000-2,500	2,500-5,000

Note. The maximum award is \$25,000.

DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. 552a)	
TITLE OF FORM Suggestion	PRESCRIBING DIRECTIVE AR 672-20
1. AUTHORITY 10 USC 1124, 5 USC 4502, 5 USC 5336	
2. PRINCIPAL PURPOSE(S) a. In processing payment of cash suggestion awards to personnel, the SSN is utilized by the Finance Office for reporting withholding tax to the Internal Revenue Service. b. Either office or home address is required so that the suggester can be advised of receipt of his suggestion and results of action taken on it.	
3. ROUTINE USES SSN: a. Identification of pay and personnel records. b. Forwarding address for military personnel. Home Address: To notify employees of pending personnel actions.	
4. MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT ON INDIVIDUAL NOT PROVIDING INFORMATION Voluntary: SSN: Possible delay in payment of cash suggestion award. Home address: Receipt acknowledgement of suggestion and results of action taken on his suggestion would be sent to the individual at his office.	
DA FORM 1045-R - Privacy Act Statement - 26 Sep 75	

Figure 2-1.

CHAPTER 3

INVENTION AWARDS

3-1. Definition. Invention awards are monetary grants for the inventions of one or more civilian employees and/or military personnel that are of interest to the Department of the Army and for which patent coverage is sought or granted.

3-2. Responsibility of patent sections. *a. Initial award.* The Patent Division, Office of The Judge Advocate General, and patent sections of other Army staff agencies will notify the major command or other organizations on whose behalf a patent application is prepared that the inventor is eligible for an initial invention award. The notification will be made to the incentive awards office of the major command or other organization after—

(1) The preparation and filing of a patent application covering the invention by the support patent section or by the individual inventor on his own initiative, and

(2) The execution by the inventor of a license or an assignment of the invention to the Government at the time the application is filed.

b. Final award. When a patent covering an invention has been issued, the concerned patents section will advise the appropriate incentive awards office of that fact to establish the inventor's eligibility for the final invention award, provided that the required rights in favor of the Government have been granted. When a Notice of Allowability has been issued for an application withheld from issue because of the classified nature of the subject matter of the invention, it shall have the status of an issued patent for final invention award eligibility notification purposes.

3-3. Requirements for Eligibility. *a. Civilian employees and military personnel* will be eligible for consideration for an initial award of

\$50 upon advice of the appropriate patent section that the conditions described in paragraph 3-2a have been met, and will be eligible for consideration for a final award of \$100 upon advice from the appropriate patent section, in accordance with paragraph 3-2b, that a patent covering the invention disclosure has been issued or a Notice of Allowability has been issued on a patent application covering classified subject matter. If the appropriate patent section, in exercising its professional judgment, decides to file more than one patent application on an invention disclosure or to file continuation-in-part applications or to file divisional applications, the inventor will be eligible for consideration for the initial award of \$50 for each application and for consideration for the additional award of \$100 for each patent which is issued, or for each application under a Notice of Allowability, regardless of whether separate invention disclosures were originally involved. In order for a continuation-in-part application or a divisional application to qualify for invention awards, it must contain inventions that are independent and distinct from the invention of the patent application.

b. When two or more eligible persons are coinventors, each will receive an initial award of \$50. The additional award of \$100 will be divided equally among the several eligible inventors.

c. If one or more eligible inventors are joined as coinventors with one or more persons who are ineligible to receive a cash award under this paragraph, the eligible inventors will be entitled to a pro rata share of the cash award which would be authorized if all coinventors were eligible.

d. Awards under provisions of this paragraph are not authorized if a cash award has been paid for the same contribution under the

Army Suggestion Program, except that where prior awards have totaled less than that authorized in *c* above, the difference may be awarded under this paragraph.

e. An award paid on issuance of a Notice of Allowability precludes payment of an additional award under this paragraph upon issuance of the patent on the same application covered by the Notice of Allowability.

f. Incentive awards committees will accept the following as prima facie evidence on which to approve awards:

(1) *Initial award.* A brief abstract of the invention disclosure together with a statement from the appropriate patent section that the conditions set forth in paragraph 3-2a have been met.

(2) *Additional award.* A statement from the appropriate patent section that either a patent or a Notice of Allowability has been issued. (The statement to include the name of the inventor and title of the invention and, in

the case of a patent, the date of issue and number of the patent.)

(3) *Restrictions.* Eligible inventors whose invention disclosures were received by patent personnel at headquarters where decisions can be made as to patent application by the Army prior to 3 March 1958 will not be eligible to receive an initial award of \$50, but inventors to whom patents or Notices of Allowability are issued on or after this date will be eligible to receive an additional award of \$100 even though these inventors are not eligible to receive an initial award.

g. When the actual value of the invention can be determined, an additional award based on its actual value may be made, if warranted. The provisions of paragraphs 2-5 and 2-6 are applicable in determining the amount of an additional award. When an award is granted, based on the value of an invention, the amount will be reduced by any awards granted under paragraph 3-3a.

CHAPTER 4

SPECIAL ACHIEVEMENT AWARDS (SPECIAL ACT OR SERVICE)

4-1. Definition and requirements for eligibility.

a. (1) A Special Achievement Award (Special Act or Service) is a monetary award in recognition of a meritorious personal effort, act, service, or scientific achievement performed within or without assigned job responsibilities, which contributes to the efficiency, economy, or other improvement of Government operations or is otherwise in the public interest.

(2) The act(s), service(s), or scientific achievement(s) may or may not involve measurable monetary benefits and may involve one, two, or a group of employees.

b. (1) A scientific achievement is defined as an act, deed, or accomplishment which establishes a scientific or technological basis for subsequent technical improvements of military or other national significance; or a scientific or technological accomplishment of such quality and effectiveness as to have materially advanced the research and development achievements of an activity, group, or project; or a significant scientific or technological achievement which contributes materially to the welfare of the armed services and/or the nation; or an article accepted for publication in a scientific publication; or a technical paper presented to professional societies which constitutes a substantial contribution to scientific knowledge.

(2) Provisions of this chapter are applicable to military personnel with respect to scientific achievements only (10 USC 1124).

(3) Included would be demonstrable individual or group achievements involving major scientific or technological advances, any research and development activity, or other professional activities. In addition, acceptance of articles for publication in newspapers, periodicals, and other media; presenting technical papers on Army subjects to pro-

fessional organizations; or performing other similar personal projects which can be shown to have increased public understanding and interest in Army operations.

c. Special services and acts must be related to demonstrable results of the following types:

(1) Significant achievements in improving individual or group productivity by reference to work measurement or other workload data.

(2) Accomplishing group activities which result in consistently high quality and which measurably exceed quality control standards.

(3) Outstanding supervisor achievement in significantly increasing employee productivity, reducing labor costs, and/or improving manpower utilization by reference to base productivity or workload data.

(4) Directly responsible for improvements in Government operations involving significant tangible benefits not covered by the Suggestion Program.

(5) Developing highly successful field projects or programs which are accepted for major command or Army implementation.

(6) Improving service to the public in a specific or measurable way.

(7) Significant individual or group accomplishments involving occupational safety and health, mission-support activities, and other assigned activities.

d. Provisions of paragraphs 2-5 and 2-6 are applicable in determining appropriate cash awards for such special service awards. Whenever tangible benefits can be established, the cash award should be based on tangible benefits.

e. When an award is made for a special achievement performed within job responsibilities, the act or service must be so

superior that it exceeds normal performance requirements of the position held.

f. The special achievement, to be recognized, must not have served either wholly or in part as the basis for a previous monetary award to the nominee(s).

4-2. Procedure and approval authority. a. A supervisor or any official having direct knowledge of the act or service, or the scientific achievement may initiate the nomination. Nominations should be submitted within 45 calendar days after the act, service, or scientific achievement to be recognized. It should be formally concurred in by an operating official in the line of command, consistent with local procedure.

b. The DA Form 1256, Incentive Award Nomination and Approval, will be used in submitting recommendations for this award. When the recommendation is based on measurable tangible benefits, the supporting data will be in detail to show the manner in which the tangible benefits were computed. Recommendations based on intangible benefits will identify the value of benefit and extent of application appropriate for the achievement to be recognized.

c. Commanders will delegate to directors (normally the managers reporting directly to the commanders) authority to give final approval to Special Achievement Awards (Special Act or Service) up to and including a specific dollar amount to be established at the discretion of the commander. Nominations which are within the delegation of authority to the directors will not be subject to consideration or approval by Incentive Award Committees, organizational, ad hoc, or other committees, formal or informal.

d. Nominations for cash awards which are finally approved by directors will be forwarded to the incentive awards office by the approving officials. The nominations will be

audited by the incentive awards staff for mathematical accuracy and regulatory compliance prior to forwarding to the Finance and Accounts Office for payment.

e. Nominations for awards in excess of the director's authority will be forwarded to the incentive awards office for processing and consideration by the Incentive Awards Committee.

4-3. Authority to grant awards. a. Cash awards up to and including \$1,500 (individual or group) may be granted by activity commanders, for tangible monetary benefits, intangible benefits, or a combination of both awards, to be computed in accordance with criteria contained in paragraphs 2-5 and 2-6. Nominations for Special Act or Service Awards which warrant a cash award in excess of \$1,500 must be forwarded with recommendation and pertinent information to the appropriate major commander for his approval prior to payment of monetary award at the activity level.

b. Major commanders, as defined in paragraph 1-7c, are authorized to grant cash awards up to and including \$5,000 (individual or group), inclusive of awards granted by installation commanders, for tangible monetary benefits, intangible benefits, or a combination of both; awards to be computed in accordance with criteria contained in paragraphs 2-5 and 2-6.

c. Recommendations in excess of \$5,000 will be forwarded to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310 for approval by the Board prior to payment of a monetary award at the activity or major command level.

d. Each cash award of \$100 or more made under the provision of this chapter will be accompanied by a Commendation Certificate, DA Form 2443.

(f) *Published works*—a list of published works in science, technology, or the humanities.

d. Nominations will be single spaced, on one side of 8- by 10½-inch paper. One original and five copies of DA Form 1256 will accompany the nomination.

e. Supporting or technical material may also be submitted as a supplement to the nomination.

8-2. Department of Defense Distinguished Civilian Service Award. a. The Secretary of Defense annually awards the Department of Defense Distinguished Civilian Service Award to six civilian employees of the Department of Defense, whose careers reflect exceptional devotion to duty and extremely significant contributions of broad scope to the efficiency, economy, or other improvement in the operations of the Department of Defense. Awards are made in two categories:

(1) For contributions or achievements primarily in the scientific field, or

(2) For contributions or achievements in fields other than scientific. This award consists of a gold medal and citation certificate signed by the Secretary of Defense.

b. Nominations for this award should be made from among those employees who already have been awarded the Decoration for Exceptional Civilian Service. In those instances where the contribution(s) or achievement(s) is so outstanding as to warrant consideration for the Department of Defense Award, concurrent nominations may be submitted for both awards.

c. Nominations will be submitted in an original and five copies in the format indicated in table 8-1. Each copy should be in a separate folder. An original and five copies of DA Form 1256 will accompany each nomination. Nominations must be submitted through command channels and be personally endorsed by the major commander concerned. Nominations must be received by the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, not later than 1 November of each year.

d. An individual who receives the Department of Defense Distinguished Civilian

Service Award does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement or service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a bronze palm leaf ribbon attachment for the original medal.

8-3. Decoration for Exceptional Civilian Service. a. This award, consisting of a gold medal, rosette, and citation certificate, signed by the Secretary of the Army, is the highest honorary award granted by the Secretary of the Army to Army civilian employees. All direct-hire employees of the Department of the Army (para 1-3a) are eligible for consideration. A nomination for this award will cover a minimum period of 1 year of service, except nominations for bravery, and must be submitted within 6 months after completion of the period to be cited.

b. Eligibility for the Decoration for Exceptional Civilian Service will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished assigned duties of major program significance to the Department of the Army in such a manner as to have been clearly exceptional or preeminent among all who have performed like or similar duties.

(2) Developed and improved major methods and procedures, developed significant inventions, or was responsible for exceptional achievements which effected large-scale savings or were of major significance in advancing the missions of the Department of the Army, and/or the Department of Defense, and the Federal Government.

(3) Exhibited great courage and voluntary risk of life in performing an act resulting in direct benefit to the Government or its personnel.

(4) Provided outstanding leadership to the administration of major Army programs in terms of highly successful accomplishment of mission or in the major redirection of objectives or accomplishments to meet unique or emergency situations.

c. When this award is granted for a heroic

act, such as described in *b(3)* above, a minimum cash award of \$200.00 will accompany the decoration. The words "FOR BRAVERY" will be inscribed on the reverse side of the medal.

d. Nominations will be submitted in original and five copies in the same format and containing the same information and documentation required for the President's Award for Distinguished Federal Civilian Service (paras 8-1c, *d*, and *e*). DA Form 1256 in triplicate will accompany each nomination. Nominations will be submitted to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, through command channels and be personally indorsed by the major command concerned.

e. Retirement, separation, or long periods of service will not constitute a sufficient basis for conferring this award. With the exception of nominations for bravery, nominations will not normally be considered unless nominees have established a pattern of excellence as demonstrated by receipt of such prior Department of the Army recognition as the Meritorious Civilian Service Award or equivalent recognition from another Federal agency. Contributions and achievements which have already been recognized by award of the Meritorious Civilian Service Award will not be the basis for consideration for award of the Decoration for Exceptional Civilian Service, and will not be included in a nomination for the latter award (para 1-5g).

f. An individual who received the Decoration for Exceptional Civilian Service does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement or service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a laurel leaf cluster (para 8-5).

8-4. Meritorious Civilian Service Award. *a.* This is the second highest Department of the Army honorary award and consists of a medal, rosette, and citation certificate. This award may be granted by the Secretary of the Army or a major commander. All direct-hire Department of the Army employees (para

1-3a) are eligible for consideration. A nomination for this award will cover a minimum period of 1 year of service, except nominations for courage and competence in an emergency, and must be submitted within 6 months after completion of the period to be cited.

b. Eligibility for the Meritorious Civilian Service Award will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished supervisory or non-supervisory duties in an exemplary manner, setting a record of achievement, and inspiring others to improve quantity and quality of their work.

(2) Demonstrated unusual initiative and skill in devising new and improved equipment, work methods, and procedures, or conceiving inventions resulting in substantial savings in manpower, time, space, materials, or other items or expense, or improved safety or health of the workforce.

(3) Achieved outstanding results in improving the morale of workers in an organizational unit of the Department of the Army with consequent improvement in work performance and esprit de corps.

(4) Exhibited unusual courage or competence in an emergency, while performing assigned duties, resulting in direct benefit to the Government or its personnel.

(5) Rendered professional or public relations service of a unique or distinctive character, deemed by the awarding authority to be worthy of recognition, either as a reward for accomplishment or as an incentive to others.

c. When this award is granted for an act, such as described in *b(4)* above, a minimum cash award of \$100.00 will accompany the medal.

d. Retirement, separation, or long periods of service will not constitute a sufficient basis for conferring the Meritorious Civilian Service Award.

e. Prior to making an award of this medal to a foreign national employee (para 1-3a), coordination with the American Embassy in the area will be accomplished to insure that the award will be compatible with the interest of the United States. Such coordination will be made a matter of record.

22 July 1977

C 2, AR 672-20

*AR 672-20

ARMY REGULATION

No. 672-20

S/S
ch 3
15 Aug 78

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 28 July 1975

DECORATIONS AND AWARDS INCENTIVE AWARDS

Effective 1 September 1975

This is a complete revision to provide current instructions for the proper administration of the Incentive Awards Program. Local limited supplementation of this regulation is permitted, but is not required. If supplements are issued, Army staff agencies and major Army commands will furnish one copy of each to HQDA (DAPE-CPL); other commands will furnish one copy of each to the next higher headquarters.

CHAPTER 1. GENERAL	Paragraph	Page
Purpose.....	1-1	1-1
Authority.....	1-2	1-1
Applicability.....	1-3	1-1
Definitions.....	1-4	1-1
Objectives.....	1-5	1-1
Policy.....	1-6	1-2
Nonappropriated fund instrumentalities.....	1-7	1-3
Responsibilities.....	1-8	1-3
Organization and functions of incentive awards committees.....	1-9	1-4
Relationships with unions.....	1-10	1-5
2. ARMY SUGGESTION PROGRAM		
Definition.....	2-1	2-0
Eligibility requirements.....	2-2	2-0
Suggestion processing procedure.....	2-3	2-0
Evaluation procedure.....	2-4	2-1
Basis for granting cash awards.....	2-5	2-2
Authority to grant cash awards.....	2-6	2-2
Cash awards for adopted suggestions which result in tangible monetary savings.....	2-7	2-2
Cash awards for adopted suggestions which result in intangible benefits.....	2-8	2-3
Request for reconsideration.....	2-9	2-4
Program guidance.....	2-10	2-4
3. INVENTION AWARDS		
Definition.....	3-1	3-1
Responsibility of patent sections.....	3-2	3-1
Requirements for eligibility.....	3-3	3-1
4. SPECIAL ACHIEVEMENT AWARDS (SPECIAL ACT OR SERVICE)		
Definition and requirements for eligibility.....	4-1	4-1
Procedure and approval authority.....	4-2	4-2
Authority to grant awards.....	4-3	4-2
5. SPECIAL ACHIEVEMENT AWARDS (SUSTAINED SUPERIOR PERFORMANCE)		
Definition.....	5-1	5-1
Requirements for eligibility.....	5-2	5-1
Procedure.....	5-3	5-1
Approval authority.....	5-4	5-1
Amount of award.....	5-5	5-1
Program guidance.....	5-6	5-2

*This regulation supersedes AR 672-20, 10 May 1972, and Change 1, 30 August 1972; and DA Messages 051945Z October 1973, 252045Z March 1974, 071906Z June 1974 and 080100Z June 74, and rescinds Reports Control Symbol DD-M(A) 786.

CHAPTER 6. QUALITY INCREASES	Paragraph	Page
Definition.....	6-1	6-0
Requirements for eligibility.....	6-2	6-0
Procedure.....	6-3	6-0
Approval authority.....	6-4	6-0
Program guidance.....	6-5	6-1
7. LENGTH-OF-SERVICE RECOGNITION FOR CIVILIAN EMPLOYEES		
Purpose.....	7-1	7-0
Coverage.....	7-2	7-0
Eligibility.....	7-3	7-0
Presentation.....	7-4	7-0
Type of emblem.....	7-5	7-0
Procurement of emblems.....	7-6	7-0
8. HONORARY AWARDS AND OTHER RECOGNITION DEVICES		
The President's Award for Distinguished Federal Civilian Service.....	8-1	8-0
Department of Defense Distinguished Civilian Service Award.....	8-2	8-1
Decoration for Exceptional Civilian Service.....	8-3	8-1
Meritorious Civilian Service Award.....	8-4	8-2
Laurel Leaf Cluster.....	8-5	8-3
Certificate of Appreciation for Patriotic Civilian Service.....	8-6	8-3
Certificate of Achievement.....	8-7	8-3
The Secretary of the Army's Annual Award for Outstanding Achievement in Materiel Acquisition.....	8-8	8-3
Army Roll of Economy Champions.....	8-9	8-4
★ Department of the Army Promotion Certificate.....	8-9.1	8-5
Other recognition devices.....	8-10	8-5
9. AWARDS BY NON-FEDERAL ORGANIZATIONS		
General.....	9-1	9-1
Arthur S. Flemming Award.....	9-2	9-1
William A. Jump Memorial Award.....	9-3	9-1
National Civil Service League Career Service Award.....	9-4	9-2
National Civil Service League Special Achievement Award.....	9-5	9-3
Federal Woman's Award.....	9-6	9-3
Rockefeller Public Service Awards.....	9-7	9-4
Federal Paperwork Management Award.....	9-8	9-5
Processing nominations.....	9-9	9-6
10. PUBLIC SERVICE AWARDS		
Presidential Medal of Freedom.....	10-1	10-1
Presidential Citizens Medal.....	10-2	10-1
Department of Defense Medal for Distinguished Public Service.....	10-3	10-1
Secretary of Defense Award for Outstanding Public Service.....	10-4	10-1
Decoration for Distinguished Civilian Service.....	10-5	10-2
Outstanding Civilian Service Award.....	10-6	10-2
Laurel Leaf Cluster.....	10-7	10-2
Department of Defense Meritorious Award.....	10-8	10-2
Certificate of Appreciation for Patriotic Civilian Service.....	10-9	10-3
11. PAYMENT, PROGRAM PROMOTION, AND REPORTS		
Payment of awards.....	11-1	11-0
Promotional materials.....	11-2	11-1
Incentive Awards Program Annual Report, Reports Control Symbols 1059-CSC-AN-T and DD-M(A)1345.....	11-3	11-2
12. PROCUREMENT OF RECOGNITION DEVICES AND FORMS		
Honorary awards and other recognition devices.....	12-1	12-1
★ DA Form 2442, DA Form 2443, DA Form 4592.....	12-2	12-1

CHAPTER 1

GENERAL

1-1. Purpose. This regulation establishes policy and regulations governing the Army Incentive Awards Program. Forms, records, files, and procedures for administration of the program are contained in Civilian Personnel Regulation 299.

1-2. Authority. This regulation is issued under authority of Federal Personnel Manual, Chapter 451; Department of Defense Instruction 5120.16; General Orders No. 34, 1956; General Orders 55, 1970; 10 USC 1124; 5 USC 4502; 5 USC 5336; and Department of Defense Instruction 1416.4.

1-3. Applicability. *a.* This regulation is applicable to all direct-hire Army civilian personnel (including US Army Reserve Technicians, National Guard Technicians, and foreign nationals) paid from appropriated funds. (Commanders in foreign areas are responsible for developing and implementing an incentive awards program for indirect-hire foreign national employees which may include similar requirements prescribed by this regulation.)

b. Provisions of this regulation pertaining to the Army suggestion program and to inventions and scientific achievements are applicable to:

(1) All military personnel, officer and enlisted, on active duty, including cadets at the US Military Academy, West Point, New York.

(2) Army Reserve personnel while on active duty (to include periods of active duty for training) and National Guard personnel when in Federal service. (National Guard personnel engaged in annual training pursuant to Section 502(a), Title 32, United States Code, are in State, not Federal, service.)

c. Former employees or military personnel, or the estates of deceased employees or military personnel, are eligible to receive awards

for contributions made by such persons while employed by or on active duty with the Department of the Army.

d. Civilian employees of Army nonappropriated fund activities are not eligible to receive cash awards paid from appropriated funds. Such employees are eligible for Army honorary awards granted under appropriate provisions of this regulation.

e. Foreign nationals employed under indirect-hire labor agreements with foreign Governments are not eligible for awards under this regulation.

f. Federal employees and military personnel outside the Department of the Army who submit suggestions on Army operations or otherwise qualify for an award are eligible under the provisions of this regulation.

g. Noncareer Government officials and non-Government personnel are eligible for Public Service Awards.

1-4. Definitions. *a.* For the purpose of this regulation, the term "major commander", as used, applies to the following:

(1) Heads of Headquarters, Department of the Army staff agencies, for their respective organizations.

(2) Commanders, US Army Training and Doctrine Command, US Army Forces Command, US Army Materiel Command and its major subordinate commands, US Army Security Agency, US Army Communications Command, US Army Health Services Command, US Army Recruiting Command, US Army Military District of Washington, Military Traffic Management Command, and US Army Criminal Investigation Command.

(3) Commanders of major Army commands overseas.

b. The term "activities" refers to organizations, such as installations, field operating

agencies, and activities which are subordinate to those identified in paragraph *a* above.

1-5. Objectives. Consistent with overall policies and objectives established by the Department of Defense, the objectives of the Incentive Awards Program are to—

a. Encourage the fullest participation of civilian employees and military personnel in improving Government operations.

b. Recognize and reward civilian employees and military personnel for suggestions, inventions, and scientific achievements contributing to efficiency, economy, or other improvement of Government operations that are above those normally expected. Recognize and reward civilian employees for superior performance individually and for special achievements, individually or in groups, which contribute significantly to efficiency, economy, or other Government operations.

c. Insure that program or operational areas where superior work results may warrant award consideration are identified by means of the normal management review and control processes. When such areas have been identified, cognizant supervisors should be requested to identify those employees deserving award consideration and submit appropriate recommendations.

1-6. Policy. *a.* The Incentive Awards Program will be administrated as an integral part of the Civilian Personnel Program. The suggestion program and the program covering cash awards for inventions and scientific achievements, applicable to both military and civilian personnel, will be operated on a unified basis under this regulation (para 1-7*a*).

b. Incentive awards activities will be coordinated to the fullest practicable extent with management improvement, work simplification, zero defects, cost reduction, industrial health and safety programs, value engineering and energy conservation, and other productivity and manpower utilization efforts. Recognition for such achievements will be by means of a Special Achievement Award (Special Act or Service). Nominations will be initiated on a DA Form 1256 and processed in

accordance with chapter 4. Incentive awards (Sustained Superior Performance Awards, Quality Increases, and Cash Awards for Special Acts or Services) will not be used as a means of avoiding or as a substitution for more applicable personnel action, e.g., promotion, training assignment, or appropriate reclassification action.

c. All levels of command will indorse and support the Incentive Awards Program to assure—

(1) Appropriate and consistent use of the various types of incentive awards.

(2) Active interest and participation in the suggestion program and programs pertaining to inventions and scientific achievements by all personnel, civilian and military.

(3) Effective utilization of recognition devices.

(4) Full consideration of eligible Army employees for awards sponsored by other Federal and nongovernmental organizations.

(5) Exchange of information among major commands, military departments, and other Federal agencies when adopted suggestions may have wider application.

d. Publicity and other promotional measures will be used to obtain full understanding and participation of all personnel in the Incentive Awards Program. Appropriated funds may be used for the purchase of inexpensive items of no intrinsic value for use in promoting the Army Suggestion Program.

e. Suggestions will be fairly evaluated and processed as expeditiously as possible.

f. Commanders, staff officials, and supervisors will facilitate and encourage suggestion activity by identifying subjects or problems on which constructive ideas are desired and by providing positive support to the suggestion program. Supervisors who have demonstrated unusual ability to stimulate participation will be given letters of commendation or other appropriate recognition.

g. Both an honorary and a monetary award may be granted to civilian and military personnel for the same act or achievement, providing criteria for each award are met. The same act or achievement, however, cannot form the basis for more than one type of

f. An individual who receives the Meritorious Civilian Service Award does not thereby become ineligible for a future grant of the same award, provided any subsequent consideration is based on a different achievement of service performed during a subsequent period. A succeeding grant of this award will be recognized by the issuance of a laurel leaf cluster (para 8-5).

g. In the absence of specific instructions from the office having approving authority, nominations will be prepared in the same format and contain the same information and documentation required for the President's Award for Distinguished Federal Civilian Service (paras 8-1*d*, *d*, and *e*).

8-5. Laurel Leaf Cluster. A bronze, silver, or gold cluster of three laurel leaves and berries, symbolizing civilian honors and achievement, is available for attachment to the ribbon of the Decoration for Exceptional Civilian Service and the Meritorious Civilian Service Award, signifying second, third, and fourth awards respectively. Medals will be presented with the proper cluster affixed to the suspension ribbon, centered on the middle white stripe, the leaves pointing upward.

8-6. Certificate of Appreciation for Patriotic Civilian Service. *a.* This award is applicable to individual employees or group of employees only in those cases where services rendered to the Department of the Army are not job connected and reflect patriotic off-duty activities of a public service type contributing to the mission accomplishment of an installation, command, or staff agency of the Army or to the welfare of Army personnel.

b. The certificate and lapel button may be awarded to individuals and groups by the Secretary of the Army, or by a major commander for services rendered to elements of the Army under his jurisdiction. This authority may be redelegated to subordinate commanders at the discretion of the major commander concerned.

c. Recommendations will be initiated by the employee's superior on DA Form 1256 and concurred in by responsible officials. Recom-

mendations for granting the award by the Secretary of the Army will be personally indorsed by major commanders and submitted to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310.

d. This award may also be used to recognize civilian employees for donating blood to the American Red Cross Blood Bank. Criteria for individual donors to receive this award will be a minimum of 10 gallons (80 pints).

8-7. Certificate of Achievement. *a.* DA Form 2442, Certificate of Achievement, may be granted by major or activity commanders as honorary recognition for employee contributions.

b. Recommendations for Certificate of Achievement will be initiated by the employee's supervisor. Commanders will delegate to directors (normally the managers reporting directly to the commander) authority to give final approval to nominations for Certificate of Achievement without prior approval of, or reference to, Incentive Awards Committee, organizational, ad hoc, or other committees, formal or informal.

c. Eligibility for the Certificate of Achievement will be determined by measuring contributions against the level of achievement defined below:

(1) Accomplished assigned duties in a commendable manner, demonstrating skill and initiative in devising and improving work methods and procedures which result in saving of manpower, time, space, or materials.

(2) Significantly affected employee morale resulting in improved work performance and esprit de corps.

(3) By personal diligence or initiative was directly responsible for meeting mission requirements or special workload projects involving unexpected difficulties and operational demands.

d. Citations on such certificates will not be worded so that the achievement appears to warrant a higher award or decoration.

8-8. The Secretary of the Army's Annual Award for Outstanding Achievement in Materiel Acquisition. *a.* This award, consisting of a silver medallion, lapel pin, and citation certificate

signed by the Secretary of the Army, is given for outstanding individual or team contributions by military or civilian personnel to the timely, efficient, and economical acquisition of quality supplies and services. The award recognizes high-level achievement in project, materiel, and special management activities, procurement and production efforts, and management of research and development. All direct-hire employees (para 1-3a) and active military personnel of the Department of the Army are eligible for consideration. A maximum of 10 awards may be presented annually.

b. To be eligible for the award, the individuals or team must have—

(1) Been assigned for duty in a staff or operating function in support of the materiel acquisition process for at least 1 year prior to the expiration of the period of service to be recognized.

(2) Made a significant contribution to the improvement of the materiel acquisition process (see table 8-2), as measured in part by—

(a) The complexity of the problem involved and the degree of initiative and originality displayed in solving it.

(b) The relative significance of the accomplishment in light of the overall activity mission.

(c) The possibility of direct application or adoption of the contribution by other activities.

(d) The improvement in program management.

c. Nominations will be submitted in original and five copies to contain the following information:

(1) Name, grade, MOS or Series, and organizational title of nominee(s) with a brief statement of assigned duties.

(2) A clear and concise description of the achievements in sufficient detail to permit review and comparison against the criteria established in paragraph b.

(3) Biographical sketch of the nominee or for each of the nominees if more than one is involved.

(4) A statement as to whether the nominee has received any other award for this achievement.

(5) An 8- by 10-inch glossy black and white photograph of each nominee. A group photograph is also desirable when more than one nominee is involved. A caption should clearly identify all members of a group photograph.

(6) A proposed citation for the signature of the Secretary of the Army, 75 to 95 words, highlighting the achievements of the nominee(s).

d. Nominations must be submitted through command channels and be personally endorsed by the major commander concerned. Nominations are made on a fiscal year basis and must be received by the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310, not later than 15 September each year. There is no limit on the number of nominations which may be submitted. When more than one nomination is submitted by a major command, they will be ranked in order of the significance of accomplishments.

8-9. Army Roll of Economy Champions. a. In the interest of giving added impetus to incentive awards activities aimed at encouraging widespread efforts by all Army personnel, civilian and military, to find ways of doing their jobs more efficiently and at less cost, a program designated as the Army Roll of Economy Champions was established. This continuing program began with Fiscal Year 1968.

b. Army personnel, civilian and military, will be entered on the Army Roll of Economy Champions by major commanders and major subordinate commanders when they have made award winning contributions (adopted suggestions or special achievements)—

(1) Which are beyond normal job requirements,

(2) Which have been placed into effect or on which award action has been completed during the competitive fiscal year, and

(3) Which result in first year measurable benefits having a value of \$10,000 or more.

c. Contributions may be individual or group achievements.

d. In order to give additional distinction to those who have made significant contribu-

CHAPTER 12

PROCUREMENT OF RECOGNITION DEVICES AND FORMS

12-1. Honorary awards and other recognition devices. The organizations or individuals listed below will requisition the honorary awards and other recognition devices discussed in chapter 8 on an annual basis from HQDA (DAPE-CPL), WASH DC 20310:

- Office, Secretary of the Army
- HQDA (DAAG-ZA)
- HQDA (DAEN-CPZ)
- Commander in Chief
 - US Army Europe and Seventh Army
- Commanders
 - US Army Training and Doctrine Command
 - US Army Forces Command
 - ★US Army Materiel Development and Readiness Command
 - ★US Army Intelligence and Security Command
 - US Army Communications Command
 - Military Traffic Management Command
 - US Army Military District of Washington
 - US Army Health Services Command
 - Eighth US Army
 - US Army Japan
 - US Army Recruiting Command
 - US Army Finance and Accounting Center
 - Superintendent, US Military Academy
 - Chief, US Army Audit Agency

★**12-2. DA Form 2442, DA Form 2443 and DA Form 4592. a.** Commands and activities will requisition DA Form 2442, Certificate of Achievement, DA Form 2443, Commendation Certificate, and DA Form 4592, Department of the Army Promotion Certificate, through normal publications supply channels. (An initial distribution of DA Form 4592 will be made automatically to each operating CPO.)

b. Due to the relatively high cost of these certificates, special care should be exercised to avoid spoilage in preparation for presentation.

ARMY REGULATION }
No. 672-20 Reference }

5/5
Ch 2
22 July 77

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 28 July 1975

DECORATIONS AND AWARDS INCENTIVE AWARDS

Effective 1 September 1975

This is a complete revision to provide current instructions for the proper administration of the Incentive Awards Program. Local limited supplementation of this regulation is permitted, but is not required. If supplements are issued, Army staff agencies and major Army commands will furnish one copy of each to HQDA (DAPE-CPL); other commands will furnish one copy of each to the next higher headquarters.

CHAPTER		Paragraph	Page
1.	GENERAL		
	Purpose	1-1	1-1
	Authority	1-2	1-1
	Applicability	1-3	1-1
	Definitions	1-4	1-1
	Objectives	1-5	1-1
	Policy	1-6	1-2
	Nonappropriated fund instrumentalities	1-7	1-3
	Responsibilities	1-8	1-3
	Organization and functions of incentive awards committees	1-9	1-4
	Relationships with unions	1-10	1-5
2.	ARMY SUGGESTION PROGRAM		
	Definition	2-1	2-0
	Eligibility requirements	2-2	2-0
	Suggestion processing procedure	2-3	2-0
	Evaluation procedure	2-4	2-1
	Basis for granting cash awards	2-5	2-2
	Authority to grant cash awards	2-6	2-2
	Cash awards for adopted suggestions which result in tangible monetary savings	2-7	2-2
	Cash awards for adopted suggestions which result in intangible benefits	2-8	2-3
	Request for reconsideration	2-9	2-4
	Program guidance	2-10	2-4
3.	INVENTION AWARDS		
	Definition	3-1	3-1
	Responsibility of patent sections	3-2	3-1
	Requirements for eligibility	3-3	3-1
4.	SPECIAL ACHIEVEMENT AWARDS (SPECIAL ACT OR SERVICE)		
	Definition and requirements for eligibility	4-1	4-1
	Procedure and approval authority	4-2	4-2
	Authority to grant awards	4-3	4-2
5.	SPECIAL ACHIEVEMENT AWARDS (SUSTAINED SUPERIOR PERFORMANCE)		
	Definition	5-1	5-1
	Requirements for eligibility	5-2	5-1
	Procedure	5-3	5-1
	Approval authority	5-4	5-1
	Amount of award	5-5	5-1
	Program guidance	5-6	5-2

*This regulation supersedes AR 672-20, 10 May 1972, and Change 1, 30 August 1972; and DA Messages 051945Z 7 October 1973, 252045Z March 1974, 071906Z June 1974 and 080100Z Jun 74, and rescinds Reports Control Symbol DD-M(A) 786.

	Paragraph	Page
CHAPTER 6. QUALITY INCREASES		
Definition	6-1	6-0
Requirements for eligibility	6-2	6-0
Procedure	6-3	6-0
Approval authority	6-4	6-0
Program guidance	6-5	6-1
7. LENGTH-OF-SERVICE RECOGNITION FOR CIVILIAN EMPLOYEES		
Purpose	7-1	7-0
Coverage	7-2	7-0
Eligibility	7-3	7-0
Presentation	7-4	7-0
Type of emblem	7-5	7-0
Procurement of emblems	7-6	7-0
8. HONORARY AWARDS AND OTHER RECOGNITION DEVICES		
The President's Award for Distinguished Federal Civilian Service	8-1	8-0
Department of Defense Distinguished Civilian Service Award	8-2	8-1
Decoration for Exceptional Civilian Service	8-3	8-1
Meritorious Civilian Service Award	8-4	8-2
Laurel Leaf Cluster	8-5	8-3
Certificate of Appreciation for Patriotic Civilian Service	8-6	8-3
Certificate of Achievement	8-7	8-3
The Secretary of the Army's Annual Award for Outstanding Achievement in Ma- teriel Acquisition	8-8	8-3
Army Roll of Economy Champions	8-9	8-4
Other recognition devices	8-10	8-5
9. AWARDS BY NON-FEDERAL ORGANIZATIONS		
General	9-1	9-1
Arthur S. Flemming Award	9-2	9-1
William A. Jump Memorial Award	9-3	9-1
National Civil Service League Career Service Award	9-4	9-2
National Civil Service League Special Achievement Award	9-5	9-3
Federal Woman's Award	9-6	9-3
Rockefeller Public Service Awards	9-7	9-4
Federal Paperwork Management Award	9-8	9-5
Processing nominations	9-9	9-6
10. PUBLIC SERVICE AWARDS		
Presidential Medal of Freedom	10-1	10-1
Presidential Citizens Medal	10-2	10-1
Department of Defense Medal for Distinguished Public Service	10-3	10-1
Secretary of Defense Award for Outstanding Public Service	10-4	10-1
Decoration for Distinguished Civilian Service	10-5	10-2
Outstanding Civilian Service Award	10-6	10-2
Laurel Leaf Cluster	10-7	10-2
Department of Defense Meritorious Award	10-8	10-2
Certificate of Appreciation for Patriotic Civilian Service	10-9	10-3
11. PAYMENT, PROGRAM PROMOTION, AND REPORTS		
Payment of awards	11-1	11-0
Promotional materials	11-2	11-1
Incentive Awards Program Annual Report, Reports Control Symbols 1059-CSC- AN-T and DD-M(A)1345	11-3	11-2
12. PROCUREMENT OF RECOGNITION DEVICES AND FORMS		
Honorary awards and other recognition devices	12-1	12-1
DA Form 2442 and DD Form 2443	12-2	12-1

1045, Suggestions and DA Form 1045 PAS-R (fig. 2-1) to the incentive awards office or to a designated suggestion coordinator. Local reproduction of DA Form 1045 PAS-R is authorized on 8 by 10½ inch paper. This form will be used to comply with the provisions of the Privacy Act of 1974. Suggestions pertaining to publications or equipment improvement may be submitted by attaching a completed DA Form 2028, Recommended Changes to Publication and Blank Forms, or DA Form 2407, Maintenance Request (Equipment Improvement Report), respectively, to the DA Form 1045 which will have the identifying items completed.

b. Each suggestion received by the incentive awards office will be checked against incentive awards files to avoid the possibility of duplicate awards. All suggestions received which meet the eligibility criteria (para 2-2) will be assigned a number and a meaningful title and acknowledged promptly. The number and title will be used as the subject of any correspondence initiated in connection with processing of the suggestion.

c. A suggestion will be returned to the suggester by the Incentive Awards Office without assignment of a number and title when it fails to meet the eligibility criteria (para 2-2).

d. Suggestions which meet the eligibility criteria will be referred promptly to the office of primary interest at the installation level for investigation, evaluation, and report as to adoption.

2-4. Evaluation procedure. a. Suggestions will be evaluated as expeditiously as possible using DA Form 2440, Suggestion Evaluation. Full consideration will be given to the suggestion and any developments directly attributed to the suggestion. When it is determined that evaluation cannot be completed within 30 working days after receipt of the suggestion, the suggester will be so informed by the incentive awards office and furnished interim progress reports either in writing or by telephone. Reasons for the extended evaluation time should be given.

b. (1) When a suggestion is desirable and practicable, and within the authority of the

evaluator to adopt, the evaluation report (DA Form 2440) will include a commitment as to how and when it was or will be placed in operation; an estimate of the annual savings and benefits, together with an explanation of the method used in making this determination; an explanation of the type and relative importance of intangible benefits, if any, such as increased safety, improved working conditions, benefits to health or morale; a statement as to the extent of application; and, where applicable, an estimate of off-setting costs of implementing the suggestion.

(2) If a suggestion is considered desirable and practical but cannot be adopted locally, the office of primary interest will forward it, with its evaluation on DA Form 2440, to the next higher echelon office of primary interest having jurisdiction over the subject matter. A copy of the evaluation will be furnished the local incentive awards office as advice of the suggestion referral. Even though an evaluating office does not have final authority to adopt a suggestion, it is required that each echelon to which a suggestion is appropriately referred make a complete evaluation. Inclusion of complete evaluations on DA Form 2440, recommending adoption, is necessary and helpful to the final evaluating authority.

(3) Suggestions to be considered within the Office of the Secretary of Defense should be forwarded to the office of primary responsibility. All such referrals should contain (a) a clear concise statement as to what action is expected of the evaluator; and (b) a positive recommendation as to whether or not the idea should be adopted and reasons therefor. Coordination with the other military departments and/or other Defense agencies is to be done by the appropriate office within OSD.

(4) Suggestions considered of value to, or requiring evaluation by, other agencies of the Department of Defense will be reviewed by the concerned staff agency and referred directly to its counterpart office in the other agency(ies).

(5) Suggestions requiring technical evaluation by departments or agencies of the Federal Government, other than the Department of Defense, will be reviewed by the

concerned Army staff agency, and forwarded to HQDA (DAAG-AMO-P), WASH DC 20314, for appropriate referral.

(6) A suggestion which is undesirable or impractical may be rejected at any level, regardless of whether the evaluator has authority to adopt and implement the suggestion. Evaluators should not forward suggestions to higher echelons unless they are considered desirable and practicable. If the evaluator is uncertain of the suggestion's value, he should forward the suggestion for further evaluation. In no instance will a suggestion be rejected solely on the basis that official Department of the Army publications do not permit its adoption.

2-5. Basis for granting cash awards. *a.* Cash awards will be granted for suggestions adopted wholly or in part, which result in tangible monetary savings, intangible benefits, or a combination of both, in accordance with the criteria contained in paragraphs 2-7 and 2-8. In order for a suggestion to be recommended for an award in excess of \$5000, the idea in the suggestion must be original to the Army as a whole. If the suggestion is submitted by two or more eligible persons, the total of the cash award will not exceed the amount that would be authorized for a similar individual award.

b. Cash awards for adopted suggestions submitted by two or more eligible persons will be paid as follows:

(1) If the members of the group have participated on a substantially equal basis, each individual will receive an equal share of the total award.

(2) If the degree of contribution differs materially, each individual will receive a share of the total group award in proportion to his contribution, as determined by the management official most knowledgeable of the relative contributions of the suggesters.

c. In cases where delays will be necessary in order to determine the full value of an adopted suggestion or before the suggestion can be implemented, an initial award may be made on a conservative estimate of the anticipated value of the contribution or upon the value of the local adoption. No adjust-

ment downward in this initial award is authorized when a final determination is made of the value of the contribution.

d. Suggestion Award Certificate, DA Form 2441, will be prepared and issued to military and civilian personnel for all cash awards for adopted suggestions.

e. Cash awards of \$100 or more for adopted suggestions should be accompanied by the Department of the Army Commendation Certificate (DA Form 2443).

2-6. Authority to grant cash awards. *a.* Activity commanders may grant cash awards up to and including \$1500 (individual and group) computed in accordance with the criteria contained in paragraphs 2-7 and 2-8. Adopted suggestions which warrant awards in excess of \$1500 must be forwarded with nomination and pertinent information to the appropriate major commander for his approval prior to payment of a monetary award at the activity level. The nomination will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, and the determination made with respect to his eligibility for a cash award.

b. Major commanders may grant awards computed in accordance with paragraphs 2-7 and 2-8 up to and including \$5000 (individual and group), inclusive of awards granted by activity commanders, for tangible benefits, intangible benefits, or a combination of both. Nominations for cash awards in excess of \$5000 must be forwarded to the Executive Secretary, Army Incentive Awards Board, HQDA (DAPE-CPL), WASH DC 20310 for approval by the Board prior to payment of monetary award at the activity or major command level. Nominations will include a statement which clearly describes the individual's assigned responsibilities, the relationship of the contribution to those responsibilities, the determination made with respect to his eligibility for a cash award, and the determination that the suggestion is original to the Army as a whole.

2-7. Cash awards for adopted suggestions which result in tangible monetary savings. *a.* Cash awards for tangible monetary savings may be

tions toward achieving the goal of a "Better Product and Service at Reduced Cost," major commanders and major subordinate commanders will award the DA Form 2442, Department of the Army Certificate of Achievement, to all personnel meeting the criteria for designation as Army Economy Champions.

e. Contributions submitted through such programs as Cost Reduction, Management Improvement, Value Engineering, Zero Defects, and Work Simplification will be reviewed carefully to assure that those awardable under this program are given appropriate recognition.

8-10. Other recognition devices. *a.* Letters of Appreciation or Commendation may be granted by responsible supervisors for specific instances of above-standard perfor-

mance or work achievements by an individual employee or a small group of employees which warrant special recognition but do not meet criteria for a higher or special-type award. Any supervisor or official having direct knowledge of the employee's acts, services, or performance warranting recognition may prepare letters. Such letters will be signed by the employee's supervisor or concerned official or by a higher level supervisor, consistent with local procedures.

b. Special plaques and other recognition devices may be established by activity commanders, consistent with policy established by the major command. These recognition devices may be granted by activity officials where so delegated by activity commanders. No review or processing by Incentive Awards Committees is required unless provided for under special local procedures.

TABLE 8-1

Nomination of (Name)
for
Department of Defense Distinguished Civilian Service Award

- I. Biological Data.
 - A. General Information:
 - Name:
 - Date of Birth:
 - Title and Grade:
 - Organization and Location:
 - Service Computation Date:
 - Length of Time with Present Agency:
 - B. Education:

<i>Year</i>	<i>Degree</i>	<i>School</i>	<i>Major Field</i>
 - C. Significant employment (list in chronological order beginning with present position):

<i>Years</i>	<i>Position Title (and grade, if applicable)</i>	<i>Organization</i>
 - D. Significant prior awards (list in chronological order beginning with most recent award received).
 - E. Significant publications during the past 5 years (list in chronological order beginning with the most recent publication).
 - F. Current membership in professional or scientific societies, civic organizations, etc:
 - G. Categorize and describe any other significant biographical data pertinent to the award nomination.
- II. Reason for Nomination (not to exceed 2-3 pages)
 - A. Summary of Achievement.
 - B. Additional facts and considerations which are pertinent to the nomination. Include examples of personal qualities of the nominee which make the achievement possible, if these qualities were not described in the summary of achievement.
- III. Citation. Prepare a double spaced proposed citation for the signature of the Secretary of Defense containing from 50 to 65 words and highlighting the significance of the individual's achievements.
- IV. Synopsis (see sample).
- V. Instructions. Begin each major heading, i.e., Biographical Data, Reason for Nomination, Citation and Synopsis on a new page. Two photographs of the nominee are to be included in two of the nominating folders.

CHAPTER 12

PROCUREMENT OF RECOGNITION DEVICES AND FORMS

12-1. Honorary awards and other recognition devices. The organizations or individuals listed below will requisition the honorary awards and other recognition devices discussed in chapter 8 on an annual basis from HQDA (DAPE-CPL), WASH DC 20310:

Office, Secretary of the Army

HQDA (DAAG-ZA)

HQDA (DAEN-CPZ)

Commander in Chief

US Army Europe and Seventh Army

Commanders

US Army Training and Doctrine Command

US Army Forces Command

US Army Materiel Command

US Army Security Agency

US Army Communications Command

Military Traffic Management Command

US Army Military District of Washington

US Army Health Services Command

Eighth US Army

US Army Japan

US Military Assistance Command, Thailand

US Army Recruiting Command

US Army Finance and Accounting Center

Superintendent, US Military Academy

Chief, US Army Audit Agency

12-2. DA Form 2442 and DA Form 2443. Commands and activities will requisition DA Form 2442, Certificate of Achievement, and DA Form 2443, Commendation Certificate, through normal publications supply channels.