



Goddard Policy Directive

DIRECTIVE NO.	GPD 3451.1D
EFFECTIVE DATE:	September 23, 2002
EXPIRATION DATE:	September 23, 2007

Responsible Office: 114 / Human Resources Development Office

Title: Incentive Awards and Recognition

1. POLICY

All Goddard cash and honor awards and recognition will be aligned with the Center's core values, its mission, strategies, and goals consistent with the Center's current Strategic Implementation Plan.

Awards are presented to recognize organizational, individual, and team performance and accomplishments, as well as to enhance organizational climate and employee morale.

Awards will provide for individual and team recognition and will recognize civil servants, contractors, and others who, through partnerships, support NASA's mission at Goddard.

The actual awards and recognition are to be consistent with the purpose of the award itself, provide special acknowledgement of the accomplishments, and be conferred as close to the achievement as possible.

2. APPLICABILITY

The scope of this instruction encompasses all awards granted by the Goddard Space Flight Center and subordinate organizational components, to include Performance, Special Act, Quality Step Increase, Time-off, and Honor Awards.

Details of the award categories and criteria of supporting processes are identified in appendices to this GPD. They include:

- Appendix A: Matrix of Honor Awards by Category and Ceremony
- Appendix B: Goddard Honor Award Descriptions and Selection Criteria
- Appendix C: Honor Awards Review and Selection Processes
- Appendix D: Directorate Awards Activities
- Appendix E: Time-off Awards
- Appendix F: Performance Awards and Cash Awards for Special Acts or Services for General Schedule or Federal Wage System Employees
- Appendix G: Awards for Senior Executive Service (SES) and Senior Scientific and Technical (SST) Positions

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3. AUTHORITY

- a. 5 United States Code, Part III, Subpart C, Chapters 43 (Performance Appraisal), 45 (Incentive Awards), and 53 (Pay Rates and Systems).
- b. 5 Code of Federal Regulations Parts 430 (Performance Management), 451 (Awards), 531 (Pay Under the General Schedule), and 534 (Pay Under Other Systems).
- c. Executive Order 11438 dated December 3, 1968.
- d. NPG 3100.1, Management of The Senior Executive Service
- e. NPG 3319.1, Management of Senior Scientific and Technical and Other Senior Level Positions
- f. NPG 3451.1, NASA Awards and Recognition Program
- g. 14 Code of Federal Regulations Part 1240 (Inventions and Contributions).

4. REFERENCES

- a. NASA Strategic Plan – most recent version
- b. 2001 Goddard Space Flight Center: Implementing NASA’s Strategies for the 21st Century (and subsequent Center plans)
- c. Union Agreements: Agreement between Goddard Space Flight Center & Goddard Engineers, Scientists & Technicians Association IFPTE Local 29 (AFL-CIO/CLC), effective: June 28, 1996; Agreement between Goddard Space Flight Center & Washington Area Metal Trades Council (AFL-CIO), effective September 15, 1983; Agreement between Goddard Space Flight Center and American Federation of Government Employees Local 2755 (AFL-CIO), effective October 23, 2000; and subsequent updates.
- d. Directorate Awards Guidelines
- e. Annual Awards Brochure/Guidance

5. RESPONSIBILITIES

- a. The Center Director, Directors of, supervisors, and review committees are responsible for maintaining the integrity of the Center Awards Program consistent with the stated awards policies and providing merit-based fair and equitable consideration to all employee and team accomplishments, inclusive of the Center’s diversity.

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- b. All employees (both supervisory and non-supervisory), as well as contractors and partners, are responsible for identifying, nominating, and providing peer input on performance and accomplishments deserving recognition and award.
- c. Directors of and heads of Center staff offices are responsible for developing and maintaining effective awards and recognition programs within their respective organizations; informing employees of standards upon which award and recognition decisions will be based; and designating the Standing Awards Committee representative(s) for his/her organization (Directors of only).
- d. The Office of Human Resources is responsible for formulating awards policy and budgets, administering the operations of the Center Awards Program; serving as the staff and operational interface with Center management and NASA Headquarters on awards activities; reviewing awards and nomination submissions for adherence to policy and regulations; arranging for awards ceremonies; maintaining awards documentation; and providing communications, training, and reference material on the awards and recognition program.
- e. Supervisors and managers are responsible for actively participating in and supporting GSFC and NASA awards programs, submitting nominations for superior accomplishments in a timely manner, and for encouraging employees to improve productivity, efficiency, economy, and effectiveness of GSFC and NASA operations.
- f. Center review committees are responsible for assuring approved nominations are consistent with awards criteria, considering relevant information during reviews, and maintaining the integrity of the review process. Also see item 5a.
- g. Directorate Standing Awards Committee (SAC) representatives are responsible for communicating awards and schedules within the organizations represented, encouraging a wide variety of nominations within their organizations, strengthening the quality or content of nominations, gathering additional clarifying information, and participating in or chairing review meetings.
- h. Directors of and heads of Center staff offices are responsible for designating an individual to maintain financial records of directorate awards activity; interfacing with and assisting the Awards Officer regarding awards activity; and serving as the focal point in their respective organization for the receipt, dissemination, review, and control of awards nomination requirements, justifications, guidelines, and submissions.

6. DELEGATION OF AUTHORITY

- a. Approval of Presidential Rank Awards, SES/SST Bonuses, and other cash awards over \$10,000 to members of the Senior Executive Service, SST, Senior Level (SL), and NASA Excepted Service (NEX) is reserved to the Administrator. No delegation is authorized.
- b. The Center Director may approve cash awards up to \$7,500 for General Schedule and Federal Wage System Employees. The Center Director also has the authority to approve all other Goddard

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awards and external nominations. Any portion of these authorities may be delegated to subordinate management levels or authorized committees.

c. Directors of and heads of Center staff offices are delegated authority to approve quality step increases and individual cash awards of \$4,000 and less. Directors of may redelegate any portion of these authorities down to any subordinate supervisory level or to an authorized peer review committee.

d. Goddard Awards – Delegations as identified in Appendix C.

e. Time-off Awards – Delegations as identified in Appendix E.

f. Cash Awards – Delegations as indicated in this paragraph 6 (also see Appendices E & F).

7. MEASUREMENT

Center awards and supporting processes will be periodically evaluated to determine if they are meeting policy and program objectives. Metrics will include areas such as: analysis of distribution of awards and the efficiency of awards processes. In addition, employee and management perceptions will be gathered and trends compared over time.

8. CANCELLATION

GPD 3451.1C, Incentive Awards and Recognition, dated August 19, 1998.

/Original Signed by/

A. V. Diaz
Director

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APPENDIX A – MATRIX OF HONOR AWARDS BY CATEGORY AND CEREMONY

Annual Center Honor Awards Ceremony

AWARD	SEE APPENDIX	TARGET POPULATION*	SKILL GROUP	GRADE	# INDIV. OR TEAM **	STRATEGIC PLAN VALUES GOALS		RECOGNITION *** ALL	PRESENTATION	FREQUENCY	CALL	NOMINATOR	REVIEW PROCESS	DECISION
Exceptional Achievement	B.4.1.a	Civil Servants Contractors Ext. Team Mem.	All	All	Both I = 30 G = 5-8	All	All	Certificate	Center Ceremony	Annual	Annual	Open to All	SAC	SAC
Outstanding Leadership	B.4.1.b	Civil Servants	All	All	I = 5-8	All	All	Certificate	Center Ceremony	Annual	Annual	Open to All	SAC	SAC
Award of Merit	B.4.1.c	Civil Servants	All	All	I = 3-5	All	All	Certificate, unique desk top item	Center Ceremony	Annual	Annual	Open to All	SAC	SAC
Safety Award of Distinction	B.4.1.d	Civil Servants Contractors Ext. Team Mem.	All	All	Both 0-1	All	Outreach	Certificate	Center Ceremony	Annual	Annual	Open to All	SAC	SAC
Outstanding Management	B.4.1.e	Civil Servants	All Sup. & Grp. Leaders	All	Indiv. I = 2-4 I = 4-6	All	All Workforce	Certificate,	Center Ceremony****	Annual	Annual	Open to All	SAC	SAC
Goddard Space Science Achievement	B.4.1.f	Civil Servants Contractors Ext. Team Members	All	All	I = 2-3	A, C, D I, R, T	Center of Excellence	Plaque, Certificate	Center Ceremony	Annual	Annual	Open to All (Excluding self-nominations)	Special Committee	Center Director
Goddard Earth Science Achievement	B.4.1.g	Civil Servants Contractors Ext. Team Members	All	All	I = 2-3	A, C, D I, R, T	Center of Excellence	Plaque, Certificate	Center Ceremony	Annual	Annual	Open to All (Excluding self-nominations)	Special Committee	Center Director
Goddard Engineering Achievement	B.4.1.h	Civil Servants Contractors Ext. Team Members	All	All	I = 2-3	A, C, D I, R, T	Center of Excellence	Plaque, Certificate	Center Ceremony	Annual	Annual	Open to All (Excluding self-nominations)	Special Committee	Center Director

* Includes contractors and external team members such as employees from other government agencies or educational institutions.
** Approximate number of awards annually.
*** Contractors and external team members are only eligible for honorary recognition. Civil Servants are to receive the stated form of recognition.
**** - May be conferred during other event

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Annual Awards of Excellence Ceremony

AWARD	SEE APPENDIX	TARGET POPULATION*	SKILL GROUP	GRADE	# INDIV. OR TEAM**	STRATEGIC PLAN VALUES	GOALS	RECOGNITION***	PRESENTATION	FREQUENCY	CALL	NOMINATOR	REVIEW PROCESS	DECISION
Outstanding Teamwork	B.4.2.a	Civil Servants Contractors & Team Members	All	All	G = 2-3	A,C,D,I, R,T	All	Certificate	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Secretarial and Clerical Excellence Award	B.4.2.b	Civil Servants	Sec. and Clericals	All	I/G = 3-5	All	All	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Quality & Process Improvement	B.4.2.c	Civil Servants Contractors & Team Mem.	All	All	I = 2-3 G = 2-3	A,C,D,I R,T	Business Processes	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Customer Service Excellence	B.4.2.d	Civil Servants Contractors & Team Mem.	All	All	I = 2-3 G = 2-3	All	All	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Excellence in Outreach	B.4.2.e	Civil Servants Contractors* Ext. Team Mem.	All	All	Both I = 5-10 G = 3-5	All	Outreach	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Outstanding Mentor	B.4.2.f	Civil Servants	All	All	Indiv. I = 2-4	All	Workforce	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Diversity Enhancement	B.4.2.g	Civil Servants Contractors* Ext. Team Mem.	All	All	Both I = 2-4 G = 1-3	All	Workforce	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Sub Committee SAC	Sub Com
Safety Award of Honor	B.4.2.h	Civil Servants Contractors & Team Mem.	All	All	I/G = 1-2	All	Workforce	Certificate, cash	Center Ceremony	Annual	Annual	Open to All	Special Committee	Center Director

* Includes contractors and external team members such as employees from other government agencies or educational institutions.

** Approximate number of awards per year.

*** Contractors are only eligible for honorary recognition. Team members receive certificates only. In addition to cash awards for individuals, \$10 per person, not to exceed \$1,000 per team, will be provided to team members for refreshments associated with a team sponsored ceremony and recognition event.

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Colloquium and Memorial Awards

AWARD	SEE APPENDIX	TARGET POPULATION	SKILL GROUP	GRADE	# INDIV. OR TEAM	STRATEGIC PLAN VALUES	GOALS	RECOGNITION	PRESENTATION	FREQUENCY	CALL	NOMINATOR	REVIEW PROCESS	DECISION
Moe I. Schneebaum Memorial Award for Engineering	B.4.3.a	Civil Servants	All	All	I = 1	All	Nat'l Resource Ctr. Excellence	Plaque, Certificate	Engineering Colloquium	Annual	Annual	Open to All	Special Comm.	Ctr Dir
William Nordberg Memorial Award for Earth Science	B.4.3.b	Civil Servants	All	All	I = 1	All	Nat'l Resource Ctr. Excellence	Plaque, Certificate	Science Colloquium	Annual	Annual	Open to All	Special Comm.	Ctr Dir
John C. Lindsay Memorial Award for Space Science	B.4.3.c	Civil Servants	All	All	I = 1	All	Nat'l Resource Ctr. Excellence	Plaque, Certificate	Science Colloquium	Annual	Annual	Open to All	Special Comm.	Ctr Dir
Robert C. Baumann Memorial Award for Mission Success (also see GSFC Annual Honor Awards)	B.4.3.d	Civil Servants	All	All	I = 1	All	Nat'l Resource Ctr. Excellence	Plaque, Certificate	Annual Award Ceremony	Annual	Annual	Open to All	Special Comm.	Ctr Dir
Excellence in Information Science & Technology (IS&T) Award	B.4.3.e	Civil Servants	All	All	I = 1	All	Nat'l Resource Ctr. Excellence	Trophy, Certificate	Last IS&T Colloquium of season	Annual	Annual	Open to All	Special Comm	Ctr. Dir.

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APPENDIX B: GODDARD HONOR AWARD DESCRIPTIONS AND SELECTION CRITERIA

B.1 OVERALL EVALUATION CRITERIA

All nominations will be considered against these overall criteria, as well as the individual criteria for each award:

- a. Nominations should be made after the completion of a product, service, or action or when the values and behaviors represented in an award and its criteria are in evidence. A discrete part of an activity may be nominated when its performance may be judged independent of the larger effort.
- b. Nominations should be timely, which would normally include activities completed within the 24 months preceding evaluation. For career awards or those awards covering sustained performance, there are no time limits.
- c. Nominations should demonstrate the relationship of the nomination to the Center's mission, strategies, goals, or values on which each award is based.
- d. Nominations should be for outstanding performance and accomplishments that exemplify or model one or more specific criteria of each award.
- e. Different skill groups and employees at different grade levels contribute to the Center's mission in many different ways. Evaluations will consider the accomplishments relative to the scope of the nominee's job responsibilities.
- f. Regardless of the number of nominations, recognition will only be made each year for those awards for which accomplishments meet the criteria and warrant special Centerwide recognition.

B.2 RECOGNITION FOR GROUPS OF EMPLOYEES OR TEAMS

GSFC must adequately provide recognition to groups of employees or teams, as appropriate. The following is suggested:

- a. If team recognition is in the form of or includes a certificate, each individual member should be given a copy of the certificate that is personalized with the individual member's name and the group/team name.
- b. Nominators should include everyone assigned to, working on, or supporting the project/program, no matter what their level of contribution/effort.
- c. Include all group/team members' names or the project/program leader in a print medium.

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B.3 AWARDS SUMMARY

B.3.1 Goddard Awards of Excellence:

- a. These awards are selected and presented on an annual basis.
- b. The nomination process is open and periodic notices will be made when nominations will close for a specific set of awards.
- c. The employee's supervisor or other individuals or teams familiar with the employee's duties, performance, and/or contributions may submit a nomination. Self-nominations may be submitted.
- d. These awards are honorary (a silver colored medallion mounted on a plaque with a certificate) and monetary; Civil Servants eligible to receive monetary awards will receive a \$1,000 Special Act Award.
- e. Teams may receive funding (\$10 per person, not to exceed \$1,000 per team) to sponsor a team awards ceremony to recognize the team's accomplishments and to distribute awards.
- f. Presentation of these awards will be during an annual Awards of Excellence ceremony.

B.3.2 Annual Goddard Honor and Memorial Awards:

- a. These awards are presented annually.
- b. The nomination process is open and periodic notices will be made when nominations will close for a specific set of awards.
- c. Anyone familiar with the employee or team's duties, performance, and/or contributions may submit a nomination for Goddard Honor Awards and Awards of Excellence. Self-nominations will be accepted for all Goddard Annual Awards with the exception of Earth Science, Space Science, Engineering Achievement, and Memorial Awards.
- d. The Director of 's endorsement is required for Earth Science, Space Science, and Engineering Achievement awards.
- e. Goddard Annual Honor awards are honorary in nature (recipients will receive a gold colored medallion mounted on a plaque with certificate). Additional recognition varies by award. None of these awards involve cash.
- f. Presentation is annual and ceremony varies by award.

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B.4 AWARD DESCRIPTION AND CRITERIA

B.4.1 Annual Goddard Honor and Awards Ceremony

a. Exceptional Achievement

To recognize individuals and teams who have made exceptional contribution to the performance of the Center's mission in any area of work, for example, in 1) science, engineering, and project management; 2) in work that vitalizes institutional capabilities, such as enhancing the reliability and performance of the Center's facilities, services, or work environment; or 3) in enabling activities (for example procurement, human resources, budget, secretarial, trades and crafts, etc...) that aid the Center's scientific, technical, and institutional capabilities and enhances mission performance

Criteria:

Accomplishments in any of the categories listed below. Accomplishments must be significantly above job expectations as demonstrated by its significance, creativity, or uniqueness and often including exceptional performance sustained over a significant period of time. The scope and significance are to be determined relative to the skill group and grade level of the nominee's peers or in the case of teams, similar team activities.

- To recognize significant achievements enabling the nation's scientific discovery or technology by sharing the Center's unique capabilities and providing customer-centered leadership (civil servant individuals and teams). Outward focused or partnership activities that demonstrate Goddard's unique role as a federal laboratory which result in significant scientific discoveries and/or technological breakthroughs.
- To recognize those who exemplify the best qualities of civil service through superior contributions or services (civil servants). All skill groups are equally eligible for this award. Normally, recipients must have demonstrated superior service over a minimum of 3 years at Goddard.
- To recognize contractor personnel supporting GSFC programs and activities who exemplify the highest qualities of service to the Center through sustained, superior contributions to the Center's mission or for extraordinary, courageous or heroic contributions to the safety of GSFC employees or facilities. Demonstrated performance and significance of contribution relative to both the requirements of their contract and the skill category of their position (contractor individuals and teams).
- To recognize individuals and teams whose significant achievements maintain or upgrade the Center's institutional capabilities including enhancing reliability and performance of Center facilities or services, or enhancing the Center's work environment. Demonstrated measurable improvements in productivity that provide cost, time, or resources savings, increased safety, or an improved work environment (civil servant).

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a. Exceptional Achievement *Continued*

- To recognize significant achievements which, directly or through partnerships, further the development and use of the Center's physical resources to meet National Resource and Center of Excellence Goals. Significant contributions meeting Agency, Enterprise, and Center goals, using innovative practices and processes and "hands-on" capabilities which increase the Center's technical capabilities with measurable cost, time, or other resource savings [contractor, civil servant, and external team members (individuals and teams)].
- To recognize individuals or teams who have made extraordinary contributions to equal opportunity or diversity (civil servants or contractors).

Eligibility: Civil servants, contractors and external team members supporting GSFC programs and activities.

b. Outstanding Leadership

To recognize individuals in all career fields whose vision and initiative motivate others to take action consistent with the Center's Goals, Strategies and Values, which result in higher performance. The award is distinct from positions of supervision and management, although both are eligible for consideration.

Criteria: Consistency of vision with the Center's Goals and Values; evidence of commitment; ability to communicate with others; ability to influence peers, subordinates, or superiors; impact and scope of the actions which result from leadership. Scope and impact are to be determined relative to skill group and grade level.

Eligibility: All civil servants supporting GSFC programs and activities.

c. Award of Merit

To recognize individuals in all career fields whose careers and accomplishments demonstrate the highest qualities of achievement and professionalism in the employee's chosen field. Normally, this award is reserved for those with 20 or more years of federal service or work experience. This is the highest individual award that Goddard bestows.

Criteria: An employee's career exemplifies the Center's Values and Goals and the employee has made extensive, prolonged, and significant mission contributions within his/her career field.

Eligibility: All civil servants supporting GSFC programs and activities.

d. Safety Award of Distinction

To recognize individuals and teams whose actions in the event of an emergency protect employees from injury or life threatening situations or whose actions preserve life.

Criteria: Evidence of actions during an emergency that demonstrate selfless commitment to protecting and preserving human life while maintaining personal safety and safety of others.

Eligibility: All civil servants, contractor employees, or others whose contributions meet the criteria.

e. Outstanding Management

To recognize managers, supervisors, or organizational team/group leaders that provide day-to-day direction to work units, who, in addition to technical excellence, demonstrate through their leadership style, the Center's core values in leading their organizations to exceptional levels of achievement while creating a positive work environment for all employees.

Criteria: Exceptional organization performance is demonstrated by specific recent accomplishments or by increased organizational productivity in meeting customer requirements, 2) by a high level of employee satisfaction, organizational teamwork and a positive work environment as evidenced by feedback from subordinates/team members, peers, and supervisors, or 3) by implementing innovative methods to achieve diversity goals identified in the Center's Diversity Strategic Plan.

Eligibility: All civil service supervisors and organizational team/group leaders supporting GSFC programs and activities. Nominations will be considered in two categories: senior and mid-level supervisors (above branch level) and first level supervisors and group/team leads (branch level and below).

f. Goddard Space Science Achievement Award

To recognize individuals who have made the most significant contributions in space and planetary science

Criteria: Demonstrated individual excellence in science as evidenced by science, patents, peer-reviewed publications, or hardware development

Eligibility: All civil servants, contractor employees, or others whose contributions meet the criteria

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g. Goddard Earth Science Achievement Award

To recognize individuals who have made the most significant contributions in earth science.

Criteria: Demonstrated individual excellence in science as evidenced by science, patents, peer-reviewed publications, or hardware development.

Eligibility: All civil servants, contractor employees, or others whose contributions meet the criteria.

h. Goddard Engineering Achievement Award

To recognize individual excellence in engineering support of science.

Criteria: Demonstrated individual excellence in innovative engineering solutions to technological problems as evidenced by patents or hardware development.

Eligibility: All civil servants, contractor employees, or others whose contributions meet the criteria.

i. Robert C. Baumann Memorial Award for Mission Success (Established 1997)

See B.4.3.d for description, criteria and eligibility. This award is presented during the Annual Center Awards Ceremony.

B.4.2 Goddard Annual Awards of Excellence

a. Outstanding Teamwork – Group/Team

To recognize teams whose teamwork, diversity, mutual accountability and responsibility, together with the commitment and performance of every team member, have resulted in extraordinary specific accomplishments or long-term performance of the team. These awards focus on the success of the team or group process as well as the products of the team. Teams may be temporary, ad hoc, or permanent parts of an organizational structure.

Criteria: Evidence that the team made a significant, extraordinary contribution to the Center's mission while maximizing the use of its resources and the capabilities of all team members in achieving its goals.

Eligibility: Any organization element, intact work group, or ad hoc team comprised of civil servants, contractors, or others participating on teams supporting GSFC's programs and activities.

b. Secretarial and Clerical Excellence

To recognize secretaries and specialty clerks who provide superior performance and accomplishments, which enhance their specific work products or functions.

Criteria: Exceptional performance of secretarial or clerical functions in such an extraordinary manner as to warrant special recognition.

Eligibility: Civil service secretaries and clerical employees.

c. Quality and Process Improvement

To recognize individuals and teams whose contributions enhance the Center's business and work processes and improves the quality of products and services.

Criteria: Initiative, innovation, and scope of improvements on the quality of products and services provided or achievements that reduce waste or misuse of government resources. Scope and impact are relative to the process being improved.

Eligibility: All civil servants and contractors and external team members supporting GSFC programs and activities.

d. Customer Service Excellence

To recognize individuals and teams that provide superior services or products to internal or external customers.

Criteria: Demonstrated performance and significance of contributions relative to the requirements of an individual's position or the team's charter. Evidence of exceeding customer expectations as evidenced by such characteristics as timely deliverables; reliable and quality products and services, economic use of Center resources, and customer relations that include effective communications and a flexible, proactive approach to problem solving.

Eligibility: All civil servants and contractors and external team members supporting GSFC programs and activities.

e. Excellence in Outreach – Individuals or Groups/Teams

To recognize individuals and teams who 1) provide innovative products, science, technology, and services to the public, educational institutions, or others who are potential beneficiaries of the expansion of knowledge resulting from NASA/GSFC's mission, or 2) develop and/or expand opportunities that result in the increased involvement of universities, industry, and others in the performance of NASA/GSFC's mission activities, or (3) increase the participation of socially or economically disadvantaged businesses or minority educational institutions.

Criteria: Consideration will be made of the quality of the products, science, technology, and services, particularly their relevance and effectiveness with a specific audience, how effectively resources are leveraged to increase the number or diversity of audiences impacted or the level and significance of the involvement of new partnerships or contract relations resulting from outreach efforts.

Eligibility: All civil servants and contractors and external team members supporting GSFC programs and activities.

f. Outstanding Mentor

To recognize outstanding mentors who actively and effectively coach one or more protégés and contribute to the personal and professional development of Goddard employees or in support of Goddard programs.

Criteria: Accessibility to protégé; modeling and transmitting the Center's values and traditions; sponsoring and providing the employee new experiences; effectiveness in transferring personal knowledge, meaningful advice, insights and experiences; or demonstrated insight into the protégé's unique mentoring needs.

Eligibility: All civil servants supporting GSFC programs and activities.

g. Diversity Enhancement

(1) Diversity

Outstanding contributions to the inclusion and utilization of the diversity of the Center's workforce to better achieve the Center's mission (qualitative) or goals identified in the Center's Diversity Plan; create an organizational culture that incorporates mutual respect, acceptance, teamwork, and productivity; or facilitate a broader inclusion of ideas and participation of Goddard's diverse workforce in all aspects of the Center's mission.

Criteria:

(1) Equal Opportunity: Outstanding accomplishments whose scope and impact further the Center's affirmative employment and workforce representation goals.

(2) Disadvantaged Business Goal Achievement: Outstanding accomplishments whose scope and impact further the Center's socioeconomic goals

(3) Diversity: Accomplishments that through the inclusion, utilization, and participation of the Center's diverse workforce enable the Center to better perform its mission through teamwork, respect, and use of the Center's diversity and innovation.

Eligibility: All civil servants and contractors and external team members supporting GSFC programs and activities.

h. Safety Award of Honor

To recognize individuals and teams whose contributions to safety significantly impact the Center's implementation of the NASA mission or mitigate and control risks to personnel, facilities, equipment, and operations.

Criteria: Demonstrated evidence of safety contributions that significantly impact the Center's implementation of the NASA mission or mitigate or control safety risks to personnel, facilities, equipment, and operations.

Eligibility: All civil servants, contractors and other team members, or others whose contributions meet the criteria.

B.4.3 Goddard Colloquium and Memorial Awards

a. Moe I. Schneebaum Memorial Award for Engineering (Established 1974)

To recognize the Goddard employee who has made the most significant contributions toward advancing the technology of space flight during the previous year or for career achievements.

Criteria: Evidence of an outstanding contribution to advancing the technology of space flight and supporting ground systems. The contribution may be for a single or continuing significant engineering achievement or for a recent professional paper or research project.

Eligibility: Any civil servant who meets the criteria.

b. William Nordberg Memorial Award for Earth Science (Established 1994)

To recognize the Goddard employee who best exhibits the qualities of broad scientific accomplishments in the area of Earth Sciences that exemplified Dr. Nordberg's own career.

Criteria: Evidence of career accomplishments in the area of Earth sciences which exhibit the characteristics of Dr. Nordberg's career: broad scientific perspective, enthusiastic programmatic and technical leadership on the national and international levels, wide recognition by peers, and substantial research accomplishments in understanding Earth System processes.

Eligibility: Any civil servant who meets the criteria.

c. John C. Lindsay Memorial Award for Space Science (Established 1966)

To recognize the Goddard employee who best exhibits the qualities of broad scientific accomplishments in the area of Space Science. This award commemorates the launch of the first Orbiting Solar Observatory on March 7, 1962, which was a great accomplishment of Dr. Lindsay's and those who worked with him.

Criteria: Evidence of an outstanding contribution to space science or technology. The contribution may be a professional paper, a research project, or any other achievement in the Space Science area that reached maturity in the previous year or for career achievement.

Eligibility: Any civil servant who meets the criteria.

d. Robert C. Baumann Memorial Award for Mission Success (Established 1997)

To recognize the Goddard employee who has made the most significant contribution towards meeting the Center's goals for the success of a GSFC space flight mission or missions. This award may be for career achievement or a specific act of exceptional merit that was completed in the previous year and encompasses work in all disciplines including administration, procurement, engineering, science and management.

Criteria: Evidence of an outstanding contribution to the safety and reliability of Goddard's mission, projects, and activities.

Eligibility: Any civil servant who meets the criteria.

NOTE: This award is presented during the Annual Center Awards Ceremony.

e. Excellence in Information Science and Technology (IS&T) Award (Established 2001)

To recognize the Goddard employee(s) who best exhibit(s) the qualities of broad information science accomplishments in the area of information science and technology. This award may be for career achievement or a specific act of exceptional merit that was completed in the previous year.

Criteria: Evidence of an outstanding contribution to the field of information science and technology.

Eligibility: Any civil servant who meets the criteria.

APPENDIX C: HONOR AWARDS REVIEW AND SELECTION PROCESSES

C.1 CENTER ANNUAL AWARDS REVIEW AND SELECTION PROCESS

C.1.1 Standing Awards Committee (SAC)

a. Organization and Responsibilities

The Center SAC serves as the Center's representative in selecting recipients for Center Annual Honor Awards, Awards of Excellence, and in making recommendations to NASA Headquarters for NASA Annual Honor Awards. Additionally, the SAC has responsibility for assuring the processes for selection correspond to Center policies and values; making recommendations to maintain the currency and vitality of Centerwide award activities; consolidating and aligning subcommittee activities; and making selections for annual awards.

b. Membership of the Standing Awards Committee

Chair: Deputy Center Director

Each Directorate will have one representative. In addition, there will be the following members: Equal Opportunity Programs Office - 1; Equal Opportunity Advisory Committees - 2 total; Secretarial and Clerical employees - 1; Special Assistant for Diversity; American Federation of Government Employees - 1; Washington Area Metal Trades Council - 1; and Goddard Engineers Scientists and Technicians Association - 2 (1 technician and 1 professional). Each of the respective representative teams has responsibility for selecting its participant(s). Chair of SAC will elect a secretarial and clerical representative from nominations.

C.1.2 Subcommittees to the Center Standing Awards Committee

a. Organization and Responsibilities

Various subcommittees will review sets of nominations in-depth. For Goddard Awards of Excellence, these subcommittees make recommendations to the Standing Awards Committee.

b. Membership of Subcommittees

A Directorate representative from the SAC will chair each subcommittee. In addition to the Chair, each subcommittee will consist of a minimum of four members (two peers, one union representative, and one advisory group member or the Special Assistant for Diversity) drawn from a pool of subcommittee members provided by the directorates (2 each); Unions (WAMTC - 1, AFGE -1, GESTA - 2); and EO Advisory Committees (1 each) and the Special Assistant for Diversity.

An annual Center call will solicit volunteers to notify their group, i.e., directorate, union, etc., of their interest in participating as a subcommittee member. Each respective group will make selection of actual members. To promote greater participation in the awards process, no pool member may serve for more than 3 consecutive years.

C.1.3 Awards Process

a. Nomination

- (1) Nominations for all Center awards will be accepted on a continuous basis.
- (2) Electronic nomination forms will be available on the Office of Human Resources website and will also be provided as part of awards calls.
- (3) In addition to the continuous nomination process, a specific awards call that solicits nominations will be made in advance of each set of awards.
- (4) Any employee, contractor, or partner may submit nominations to the Center Awards Office.
- (5) Nominees will be informed that they were nominated for an award. The name of the nominator will not be forwarded.
- (6) Following selection, nominators will be notified of the disposition of their nomination.

b. Review

The appropriate committee or subcommittee will solicit information from a variety of sources. At a minimum, (1) Directorates will review and prioritize their nominated employees; (2) matrixed employees nominated for their matrixed duties will be prioritized by both the matrixed and home organizations; and (3) recommendations of one or more of following sources - references, customers, peers, directorate partners, management, or other relevant sources - will be solicited to provide a 360 degree perspective on the nomination.

Directorate and other recommendations will assign each nomination to one of the following groupings with additional comments as appropriate:

High - Unequivocal support for this nomination - "best of the best"

Medium - An outstanding nomination - "worthy of consideration"

Low - Not recommended at this time

Unable to evaluate

c. Selection

(1) Selections for Annual Honor and Awards of Excellence

In making selections, all nominees and all available information will be considered.

Subcommittees will make selections for Annual Awards of Excellence. For Annual Honor Awards (excluding the Space Science Achievement, Earth Science Achievement, and Engineering Achievement Awards), subcommittees will make recommendations to the Standing Awards Committee. The SAC, in turn, will consolidate subcommittee inputs for final annual awards selections.

(2) Selections for Space Science Achievement, Earth Science Achievement, and Engineering Achievement

Special committees will be convened to evaluate nominations for Space Science Achievement, Earth Science Achievement, and Engineering Achievement recipients, as follows:

<u>Award</u>	<u>Committee Composition</u>
Space Science Achievement	Lindsay Memorial Award recipients over past five years
Earth Science Achievement	Nordberg Memorial Award recipients over past five years
Engineering Science Achievement	Schneebaum Memorial Award recipients over past five years

The previous year's award recipient will chair the respective subcommittee. Subcommittees are to recommend selections to the Center Director who will make final selections.

C.2 COLLOQUIA, MEMORIAL AWARDS REVIEW AND SELECTION PROCESS

C.2.1 Nominations

An annual Centerwide call will be made for each award.

C.2.2 Review and Selection

For Memorial Awards, a committee comprised of prior award recipients and chaired by the previous year's award recipient will review and recommend selection to the Center Director who makes final selection.

For Excellence in Information Science and Technology Awards, a committee (with diverse representation) comprised of representatives from various directorates will review nominations and recommend selection to the Center Director. The Center Director will make final selections.

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APPENDIX D: DIRECTORATE AWARDS ACTIVITIES

Directorate awards activities are subsets of the Center Awards Program. All monetary awards are to be processed through the established processes for each type of monetary award. Non-monetary awards may take many forms, but the use of appropriated funds should be limited to certificates and merchandise of nominal value.

Directorate awards activities should generate increased productivity and improved organizational climate and morale. They should provide recognition for individuals, teams, and individual contributions to team efforts. The directorate awards program shall be fair and equitable for all members of Goddard's diverse workforce. Five factors should be considered in developing a process for directorate awards and recognition: (1) the type of accomplishments to be recognized; (2) the criteria that will be considered in the selection process(es); (3) the substance of the award; (4) the process by which employees are nominated and selected; and (5) the presentation or recognition process. These factors must be openly communicated to all covered employees.

Directorate award activity factors are to be submitted to the Office of Human Resources (the Labor Relations Officer for consideration of negotiation responsibilities and to the Awards Officer) for consideration of compliance with law and regulation and to maintain a Center database on awards activities.

This section is not intended to cover Directorate sub-organizational levels when the activities are in-house, of nominal value, or simply involve a local recognition process using Center established monetary and non-monetary awards such as general Special Act or Performance Awards.

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APPENDIX E: TIME-OFF AWARDS

E.1 ELIGIBILITY

Any GSFC civil service employee is eligible for consideration for this award.

Time-off Award means an excused absence (minimum of 8 hours) granted to an employee without charge to leave or loss of basic pay.

E.2 DELEGATION OF AUTHORITY

<u>Supervisory Level</u>	<u>Approval Range</u>
Immediate Supervisor	8
Branch Level or Equivalent (If second level of management, i.e., not the initiator)	8 - 16 hours
Division Chief or Equivalent and above (If second level of management, i.e., not the initiator)	8 - 40 hours

Other than awards initiated by the Center Director, any Time-off Award above 8 hours requires one level of review and concurrence.

Organizational Group/Team Leaders, Managers of co-located employees, Leads of other team activities may nominate individuals or teams for Time-off Awards to the employee(s) supervisor or manager with authority to approve the proposed level of award.

E.3 CRITERIA

A Time-off Award may be used to recognize a variety of employee contributions. Primarily it is intended to recognize employee(s) contributions that are of a one-time, nonrecurring nature. A scale for determining the amount of time-off to be granted is shown in paragraph 4. Examples of employee achievements that might be considered for Time-off Awards include, but are not limited to, the following:

- a. Making a high quality contribution involving a difficult or important project or assignment.
- b. Displaying special initiative and skill in completing an assignment or project before the deadline or within budget.
- c. Completing a difficult additional assignment while consistently maintaining the employee's workload.
- d. Using initiative and creativity in making improvements in a product, activity, program, or service.

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E.4 TIME-OFF AWARDS SCALE

Value to the Organization	No. of Hours
<p>Moderate</p> <ul style="list-style-type: none"> a. A contribution to a product, activity, program, or service to the public that is of sufficient value to merit formal recognition. b. Beneficial change or modification of operating principles or procedures. 	8
<p>Substantial</p> <ul style="list-style-type: none"> a. An important contribution to the value of a product, activity, program, or service to the public. b. Significant change or modification of operating principles or procedures. 	9 to 20
<p>High</p> <ul style="list-style-type: none"> a. A highly significant contribution to the value of a product, activity, program or service to the public. b. Complete revision of operating principles or procedures with considerable impact. 	21 to 30
<p>Exceptional</p> <ul style="list-style-type: none"> a. A superior contribution to the quality of a critical product, activity, program, or service to the public. b. Initiation of a new principle or major procedure with significant impact. 	31 to 40

E.5 LIMITATIONS TO TIME-OFF AWARDS

- a. A full-time employee may be granted up to 80 hours of time-off under this program during a leave year. A part-time employee may be granted up to the average number of hours of work in the employee's bi-weekly scheduled tour of duty (e.g., a part-time employee working 20 hours a week could be granted up to 40 hours during a leave year).
- b. Time-off may be granted in amounts of up to 40 hours for a single contribution for full-time employees. Part-time employees may be recognized up to one-half the average number of hours of work in a biweekly tour of duty for a single contribution.
- c. Time-off Awards are not intended to replace existing monetary or non-monetary awards. Time-off Awards may be used in combination with monetary and/or non-monetary awards based on the same contribution. For instance, due to budgetary constraints, Time-off Awards may be granted in addition to a cash award for either a Performance Award or a Special Act Award.
- d. Time-off Awards are not to be a substitute form of compensation for overtime work that should be - directly compensated through paid overtime or compensatory time-off.

E.6 NOMINATION AND APPROVAL PROCEDURES

E.6.1 Individual Awards

- a. The nominator completes the GSFC Awards Nomination Form (GSFC 17-8). The nominator should use the Time-off Scale (section 4) to determine the number of hours appropriate for the employee's contribution.
- b. When the form is complete, it should be processed through the appropriate approval level. If the award is for 8 hours, the immediate supervisor may forward the nomination directly to the Awards Office. If the award is for more than 8 hours, the nomination must be forwarded to the next higher level for approval.

E.6.2 Group/Team Awards

In the event that a group or team of employees performed the contribution, the nominator must complete the award form with the same signature requirements in effect. The nominator must list the names of the contributors and recommend the number of hours each member should receive.

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E.7 PROCESSING

Completed nominations should be forwarded in the same way as other awards. Time-off Awards shall not be scheduled until the originator and employee receive official notification of approval by a certificate and a copy of the award nomination.

E.8 SCHEDULING AND USE OF AWARDS

- a. Time-off Awards must be scheduled with the employee's supervisor. The scheduled time off must be taken within 1 year after the effective date. Any balance not taken within that time frame will be forfeited.
- b. Pay statements will indicate the number of hours accrued, used, and remaining balance.
- c. If physical incapacitation for duty occurs during a period of time-off awarded, sick leave may be granted for the period of incapacitation. The time-off may be rescheduled for another time subject to the limitations in paragraph 8a.
- d. A Time-off Award cannot be converted to a cash payment under any circumstances. Therefore, a Time-off Award, unlike accrued annual leave, cannot be converted to a cash payment upon separation from the Federal service.
- e. A Time-off Award cannot be transferred when an employee transfers to another Federal agency; however, within NASA, a Time-off Award will transfer when an employee transfers from one installation to another.
- f. Time-off Award balances cannot be transferred to approved leave recipients under the Voluntary Leave Transfer Program.

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APPENDIX F: PERFORMANCE AWARDS AND CASH AWARDS FOR SPECIAL ACTS OR SERVICES FOR GENERAL SCHEDULE OR FEDERAL WAGE SYSTEM EMPLOYEES

F.1 GENERAL SCHEDULE (GS) OR FEDERAL WAGE SYSTEM (FWS)

- a. Cash awards may be granted to an employee, as an individual or as a member of a group/team.
- b. Special Act or Service awards are for a superior accomplishment that exceeds job requirements as a one-time occurrence. Individuals, teams, former employees, or the estate of a deceased employee may receive Special Act or Service awards provided that the special act or service took place while the person was a Government employee. Recommendations for Special Act or Service awards must include a justification describing the nature of the contribution (describe what the person/team did, how performance or expectations were exceeded (quality, timeliness, customer service, productivity, innovation, cost savings, overcoming adverse obstacles, etc...) and the results or outcomes produced.
- c. Performance Awards are for high-level performance of specific duties and responsibilities identified in an employee's performance plan and reflected in the employee's most recent rating of record. To be eligible for a Performance Award, an employee must be in a GS or FWS position on the last day of the current appraisal period and have been rated "meets expectations" for the current rating of record. Award amounts may not exceed 10 percent of basic pay unless the NASA Administrator approves a higher amount for unusually outstanding performance (see section 4 for approval levels).
- d. Quality Step Increases (GS only) are for sustained high quality performance that is significantly above that expected at the "meets" level. An employee must receive a "meets" i.e., fully successful rating, to be eligible and the recommendation for a QI must be supported with a written justification demonstrating sustained high performance. A QI may not be granted to an employee who has received a QI within the preceding 52 consecutive calendar weeks. In addition, the employee must be below step 10 of his/her grade level.
- e. Goddard honor recipients receive recognition as determined appropriate by the Center. Additional monetary awards to a Center award recipient may not be based solely upon the receipt of a Goddard Honor Award.

F.2 NOMINATION AND APPROVAL PROCEDURES

F.2.1 Individual Awards

Nominators are to complete GSFC Awards Nomination Form (GSFC 17-8). Cash awards may range from \$25 to \$25,000. Cash award amount recommendations are to be in proportion to the benefits realized by the employee's contribution. (See approval levels in Section F.3.)

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F.2.2 Group Awards

In the event that a group or team of employees performed the contribution, the nominator must complete the award form with the same signature requirements in effect. The nominator must list the names of the contributors and recommended amounts each member should receive.

F.3 PROCESSING AND APPROVAL

Completed GSFC Award Nominations are to be processed through the appropriate approval level and forwarded to the Office of Human Resources for processing. Other than awards initiated by the Center Director, nominations require review and approval at one management level higher than the individual recommending the award. Awards valued in excess of \$4,000 require review by the Awards Officer and concurrence by the Director of Human Resources prior to their submission to the Center Director for final approval or for endorsement to submit to NASA Headquarters.

<u>Approval Level</u>	<u>Approval Range</u>
Directors of and Center Staff Office Heads (may be delegated down to any subordinate level or to an authorized peer review committee)	\$25 - \$4,000
Center Director	\$4,001 - \$7,500
NASA Headquarters	\$7,501 - \$10,000
OPM	\$10,001 - \$25,000

Organizational Group/Team Leaders, managers of co-located employees, and leads of other team activities may nominate individuals or teams for cash awards to the employee(s) supervisor or manager with authority to approve the proposed level of award.

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APPENDIX G: AWARDS FOR SENIOR EXECUTIVE SERVICE (SES) AND SENIOR SCIENTIFIC AND TECHNICAL (SST) POSITIONS

Refer to NPG 3100.1 for additional guidance concerning SES employees and to NPG 3319.1 for additional guidance concerning SST employees.

G.1 SENIOR EXECUTIVE SERVICE (SES) PRESIDENTIAL RANK AWARDS AND BONUSES

G.1.1 Presidential Rank Awards are to recognize and reward exceptional performance over an extended period of time by SES career employees.

Criteria: Career SES employees who have completed a minimum of three years of career or career-type, Federal, civilian service in the SES or an equivalent level and are on NASA's rolls at the time the nomination is due to the Office of Personnel Management are eligible for consideration for rank awards. The minimum three years of service need not have been continuous. A recipient of a Presidential Rank Award may not receive the same award again during the 4 fiscal years following the year in which an award was given.

G.1.2 Distinguished Executive Rank is for sustained extraordinary accomplishments and is limited to 1 percent of career SES employees governmentwide.

Recognition is a lump sum cash payment of 35 percent of basic pay, a gold pin, and a certificate signed by the President. Traditionally, the President presents these awards.

G.1.3 Meritorious Executive Rank is for sustained accomplishments and is limited to 5 percent of career SES employees governmentwide.

Recognition is a lump sum cash payment of 20 percent of basic pay, a silver pin, and a certificate signed by the President.

Nominations are made by the Center Director and forwarded through the Institutional Program Office (Code Y) to the NASA Performance Review Board and the NASA Senior Executive Committee, which makes recommendations to the Administrator. The Administrator has final approval authority on the nominations to be forwarded to the Office of Personnel Management.

G.1.4 SES Bonuses: Performance Awards/Bonuses between 5 and 20% of basic pay may be given to SES career employees who have been in the SES for a minimum of 120 days at the end of the rating period and have a fully successful or higher rating. The total Agency awards may not exceed 3% of the Agency's total SES salary, as of the end of the previous fiscal year.

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Nominations are made in response to a Headquarters call. The Center Director submits Center nominations to the Institutional Program Office (Code Y), which submits the final nominations to the Performance Review Board that makes recommendations to the Administrator who has final approval authority.

G.1.5 SES/SST/NEX/SL Incentive Awards

SES/SST/NEX/SL career employees are eligible for incentive awards for suggestions, inventions, special act or service, and superior achievement/accomplishment. The Center director may approve cash awards up to \$10,000 for SES, SST, and NEX employees. Fifteen (15) days advance notice must be provided to the Institutional Program Office (Code Y) of the Center Director's intention to affect these awards.

Senior Scientific and Technical Positions (SST)

The Administrator determines annually a fixed allocation of bonuses, which are delegated to the Institutional Associate Administrators (Code Y) for awards to SST positions at their Installations. The minimum bonus for employees in SST Levels 1-6 is 5 percent. Nominations for these awards are submitted by the Center Director through the Institutional Program Office (Code Y) to the Administrator.

The Center Director has authority to approve performance awards of up to 5 percent of basic pay for SST employees in Level C. The total dollar value of all awards granted to SSTs in any fiscal year may not exceed 3 percent of the aggregate salaries of the Center's Level C employees who were on board as of the end of the prior fiscal year.

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CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline thru B	08/12/83	GMI 3451.1, Incentive Awards for the Goddard Space Flight Center
C	08/19/98	Converted GMI 3451.1B to reflect new GPD format. Redrafted to implement new Center Incentive Awards and Recognition Program.
D	09/23/02	<p>Redrafted to incorporate changes in NASA and GSFC awards and recognition policy and to implement refinements to Center's Honor Awards Program.</p> <ul style="list-style-type: none"> • Discontinued quarterly and "Best-Of-The-Best " awards • Created new or revised existing award names, categories, criteria, and descriptions to improve occupational coverage and reinforce Center values • Revised selection process and evaluation team composition for certain awards • Changed honoraria and the number of awards ceremonies • Created a mechanism to encourage teamwork value via a team celebration activity • Implemented ways to improve the quality and diversity of nominations • Implemented new delegations of authority for SES, ST, SL and NEX positions

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