

DEPARTMENT OF THE NAVY
COMMANDER, NAVY REGION SOUTH TEXAS
CORPUS CHRISTI, TEXAS 78419-5200

CHIEF OF NAVAL AIR TRAINING
CORPUS CHRISTI, TEXAS 78410-5100

NRST/CNATRAINST 12451.1

NRST/CNATRA INSTRUCTION 12451.1

02 NOV 2000

Subj: CIVILIAN AWARDS PROGRAM

Ref: (a) DON Human Resources Implementation Guide 451-01

Encl: (1) Supervisor's Guide to Civilian Employee Awards -
10/22/99

1. Purpose. To establish policy and procedures governing the use of the Awards Program per reference (a). The goal of the Awards Program is to recognize creativity in the workplace and reward employees and groups of employees when contributions are made.

2. Scope. This instruction includes monetary and non-monetary awards and provides information to employees and their supervisors concerning eligibility, procedures, requirements, limitations and administrative processing.

3. Criteria for, and Recommended Uses of, Various Types of Recognition

a. Monetary Awards (Special Payments)

(1) Special Act or Service Award. This award may be used to recognize an individual or group effort which goes beyond expected performance or outside of normal job responsibilities. Awards are used to recognize exceptional accomplishments, such as an outstanding achievement, and may be given at any time during the appraisal cycle. Enclosure (1) provides guidance regarding the appropriate award amount based on tangible and intangible benefit scales. Supervisors will use the Personnel Process Improvement (PPI) System to initiate a Standard Form 52 (SF-52) providing a brief description of the achievement, and any tangible or intangible benefits, in the appropriate block. The respective Comptrollers will ensure funding is available.

(2) On the Spot Award. This is a Special Act or Service Award designed to quickly recognize efforts by employees that result in service of an exceptionally high quality or quantity. It is particularly appropriate for rewarding employee efforts that might go unrecognized. It provides immediate reinforcement for exceptional performance that benefits the local workplace (i.e. special projects, one time achievement, new ideas that have immediate benefit to the

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office's ability to get the job done). Supervisors will use the PPI System to initiate an SF-52 providing a brief description of the efforts in the appropriate blocks. On the Spot Awards range from \$25 to \$750; commensurate with the nature of the service or act being recognized. Enclosure (1) describes the appropriate amounts based on the tangible and intangible benefit scales.

(3) Performance Recognition. Monetary awards may be granted to employees who attain high levels of performance for individual, team, or organizational achievements or contributions. Commands and activities may recognize performance based on an "acceptable" rating or record issued at the end of the performance cycle; however, they are strongly encouraged to recognize high-level performances at any time during the rating cycle using Special Act, On-the-Spot, and Time-Off awards. Performance-based cash awards may be determined using a percentage of basic pay at a level not to exceed 10 percent of the employee's annual rate of basic pay and subject to CNET approval.

(4) Quality Step Increases (QSI's). A QSI is a permanent pay increase for employees who are not at the top step of their grade. QSI's will be used in exceptional situations. To be eligible, General Service (GS) employees must:

(a) Have received a rating of record of "Acceptable."

(b) Have demonstrated sustained superior performance of high quality significantly above that expected at the "Acceptable" level (i.e. exceeded the "Acceptable" criteria depicting unusually good or excellent quality or large quantity of work provided ahead of schedule or with less than normal supervision).

(c) Have made a significant contribution to the mission.

NOTE: Recommendations will be submitted on a cover letter with the employee's name, social security number, position title, grade, step and statement of justification. An employee may be recommended for a QSI by anyone in the employee's line of supervision. The CNATRA N1, N8 and Chief of Staff will review all QSI recommendations for NATRACOM personnel for approval. At the station level, the MSO, Comptroller and Commanding Officer will review all QSI recommendations.

b. Non-monetary Awards. Non-monetary awards provide a means to acknowledge valuable contributions and may reflect contributions made over a period of time. There are numerous non-monetary awards available. These awards can take the form of Letters of Appreciation and Commendation, certificates of recognition, tie tacks, coffee mugs, belt buckles etc.

c. Time-Off Awards. Time-off awards are alternative means of recognizing displays of initiative and superior accomplishments, skills or employee achievements. Appendix F of reference (a) provides guidelines for determining the appropriate number of hours to award.

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(1) Examples of achievements which may be considered for a time-off award are:

(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.

(c) Using initiative and creativity in making improvements in a product, activity, program or service.

(d) Ensuring the mission of the unit is accomplished during a difficult period by successfully completing additional work or a project assignment while maintaining the employee's own workload.

(e) Accomplishing a specific, one-time or special assignment that required extra effort or resulted in the organization receiving recognition for responsiveness to unprogrammed requirements.

(2) Supervisors may recommend employees for time-off awards by submitting an SF-52 through the PPI System. Awards are approved by the Department Head for eight hours or less and the Commanding Officer (or designee) for anything exceeding eight hours.

(3) Time-off awards must be scheduled and used within one year of the effective date of the award. Any unused amount remaining after that time must be forwarded without further compensation to the employee. Should an employee become physically incapacitated during a period of time that the award was granted, the supervisor may grant sick leave for the period of incapacitation. Adjustments should then be made so that the time-off award can be fully effected within pertinent regulations.

(4) A time-off award does not convert to cash under any circumstances.

(5) A time-off award can be transferred within the DON. The award does not transfer to another DOD activity, or to activities outside the DOD.

(6) The total amount of time off, which may be granted to employees during one year, is 80 hours. The maximum amount of time off, which may be granted for any single contribution, is 40 hours.

(7) Time-off awards shall not be granted to create the effect of a holiday or treated as administrative excuses or leave.

(8) Employees may be offered the opportunity to elect to receive a time-off award, in lieu of a monetary award, in recognition of performance based on an "Acceptable" rating of record issued at the end of the performance cycle.

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d. DON Honorary Awards. Reference (a) and enclosure (1) detail the eligibility requirements and nomination process for the following civilian awards:

(1) DON Distinguished Civilian Service Award. The highest honorary award the SECNAV can confer on a DON civilian employee.

(2) DON Superior Civilian Service Award. The second highest honorary award in the Navy.

(3) DON Meritorious Civilian Service Award. The Third highest honorary award in the Navy.


JOHN E. BOYINGTON, JR.

Distribution:
CNATRAINST 5215.1Q
List I
List III
NAS Corpus Christi
NAS Kingsville
NS Ingleside
CNATRA Contract Maintenance DETs
Corpus Christi
Kingsville
Meridian
Pensacola
Whiting Field

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SUPERVISOR'S GUIDE TO CIVILIAN EMPLOYEE AWARDS

10/22/99

HRO Pensacola POC Ms. Sarah Holland
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DSN 922-4433 x347

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Supervisor's Guide to Civilian Employee Awards - 10/22/99

HRO Pensacola POC: Ms. Sarah Holland
(850) 452-4433 x 347
DSN 922-4433 x 347

This guide is intended for supervisors who are unfamiliar with civilian awards. By design this guide is not all-inclusive. It intends to inform supervisors of the awards available and to present basic parameters relative to selected civilian awards, which are marked with asterisks (*).

1. Major award Types:**a. Honorary/non-monetary awards**

(1) General purpose. Except for Career Service Awards nominations for these awards may be submitted anytime.

(a) DON

1. Letter of Appreciation*
2. Letter of Commendation*
3. Civilian Service Awards
 - a. Meritorious*
 - b. Superior*
 - c. Distinguished*
4. Public Service Awards
 - a. Meritorious
 - b. Superior
 - c. Distinguished
5. Time-Off Awards*

(b) DOD

1. Civilian Service Awards
 - a. Meritorious
 - b. Distinguished
2. Medal for Distinguished Public Service
3. Award for Outstanding Public Service
4. Meritorious Award
5. SECDEF Letter of Commendation
6. SECDEF Award for Productivity Excellence

(c) Presidential

1. Presidential Citizens Award
2. Presidential Letter of Commendation
3. Presidential Management Improvement Award
4. Presidential Medal of Freedom
5. President's Volunteer Action Award

(2) Special purpose

- (a) Career Service Award (Length of Service)*
- (b) Presidential Letter of Appreciation (for retirees with 30 or more years of federal service)*
- (c) DON Distinguished Achievement in Science Award (DASA)
- (d) National Security Medal

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- (3) Sponsored Awards. Nominations for these awards are accepted only during periods, stated in published announcements. Most of these are announced annually.
 - (a) Handicapped Employee of the Year
 - 1. Outstanding Handicapped DON Employee of the Year
 - 2. Outstanding Handicapped Federal Employee of the Year
 - (b) Government-wide Executive Leadership Awards
 - 1. Federal Executive Institute Alumni Association (FEIAA) Executive of the Year
 - 2. Roger W. Jones Award
 - 3. Senior Executives Association Professional Development League (SEA PDL) Executive Excellence Awards
 - (c) Government-wide Public Administration Awards
 - 1. Excalibur Award
 - 2. Arthur W. Flemming Award
 - 3. GSA Award for Excellence in Administration
 - 4. William A. Jump Memorial Award
 - 5. National Public Service Award
 - 6. Government Employees Insurance Co. (GEICO) Public Service Award
 - (d) Scientific and Technical Awards
 - 1. DON Distinguished Achievement in Science
 - 2. Government-wide
 - a. American Society of Naval Engineers Award
 - b. Award for Achievement in Managing Information Technology
 - c. Information Resource Management Award
 - d. Alan T. Waterman Award
 - e. Women in Science and Engineering (WISE) Award
 - f. WISE Achievement Award
 - (e) Government-wide Financial Management Award
 - Donald L. Scantlebury Award
 - (f) Personnel Administration Awards
 - 1. Government-wide
 - a. John E. Fogarty Award
 - b. International Personnel Management Association (IPMA) Award for Excellence
 - 2. DON Human Resources Management (HRM) Award for Excellence
- b. Monetary Award
 - (1) Special Act or Service Award*
 - (2) On-the-Spot Award*
 - (3) Beneficial Suggestion Award*
 - (4) Invention Award*
- c. Performance Awards
 - (1) Monetary*
 - (2) Quality Step Increase*
 - (3) Time Off Award*
- d. Other Award: Meritorious Unit Commendation
 - 3. Individual and group award discussion. Although a team, section or group composed of employees, contractors, military members, volunteers, etc.,

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may have accomplished a magnificent achievement for the government, when recognizing the achievement, each team member's individual record must be annotated. At present a "group award" does not exist in DON. That does not prevent individual activities, commands, or the DON from developing such an award to recognize group efforts and achievements. It merely means that in order to document an individual's contribution to the achievement, an entry into each individual's record must be made.

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LETTER OF APPRECIATION

Form of award: Letter from activity Commanding Officer.

Eligibility: All employees.

Purpose of award: To recognize, in writing, employee contributions to the government.

Nomination official: Anyone

Approving official: Commanding Officer

Nomination/approval procedures: The process varies among activities. Check your activity's procedures.

Reference: None

Note: This is the lowest level, formal award available. Letters of Appreciation are not filed in recipient's Official Personnel Folder.

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LETTER OF COMMENDATION

Form of award: Letter from activity Commanding Officer.

Eligibility: All employees.

Purpose of award: To recognize, in writing, employee contributions to the government.

Nomination official: Anyone

Approving official: Commanding Officer

Nomination/approval procedures: The process varies among activities. Check your activity's procedures.

Reference: None

Note: Letters of Commendation may be filed in recipient's Official Personnel Folder.

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MERITORIOUS CIVILIAN SERVICE AWARD

Form of award: Certificate and medal set.

Eligibility: DON civilian and NAF employees.

Purpose of award: Navy's third highest civilian honorary award. Award is granted for meritorious civilian service or contribution that is high in value or benefits but is limited in scope and/or impact, e.g., activity level.

Nomination official: Unspecified

Approving official: Activity head

Nomination/approval procedures:

- a. Activity prepares nomination package
- b. Activity prepares citation and forwards copy of citation and memorandum to HRO.
- c. HRO completes certificate lettering and provides certificate and medal set to activity
- d. Activity head signs certificate and presents it and citation

Reference: DoD 1400.25-M, Subchapter 451

Note: Involves no inherent monetary award.

SAMPLE CITATION FORMAT:

ACTIVITY LETTERHEAD

The Commanding Officer takes pleasure in presenting the NAVY MERITORIOUS CIVILIAN SERVICE AWARD to

JOHN DOE

for service as set forth in the following
CITATION:

For exemplary service in the superior performance of his duties as (position held), from (fill in beginning and ending dates). (Fill in specific accomplishments and results). Mr. Doe's superlative service reflects great credit upon himself and is in keeping with the highest traditions of the United States Naval Service.

JOHN P. JONES
Captain, United States Navy
Commanding Officer

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SUPERIOR CIVILIAN SERVICE AWARD

Form of award: Certificate and medal set,

Eligibility: DON civilian and NAF employees.

Purpose of award: Navy's second highest civilian honorary award. Award is granted for exceptional contributions that have narrower impact or scope than for the Distinguished Award, e.g., command level.

Nomination official: Unspecified

Approving official: Major command, e.g., CNET

Nomination/approval procedures:

- a. Activity prepares and forwards nomination package to major command.
- b. Major command reviews, and approves or disapproves nomination.
- c. If major command approves nomination, activity prepares and forwards memorandum and citation to HRO.
- d. HRO completes certificate lettering and provides certificate and medal set to activity.
- e. Activity presents award and citation to recipient.

Reference: OCPMINST 12451.1

Note: Involves no inherent monetary award.

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DISTINGUISHED CIVILIAN SERVICE AWARD

Form of award: Certificate and medal set.

Eligibility: DON civilian and NAF employees.

Purpose of award: Navy's highest civilian honorary award. Award is granted for truly exceptional contributions when measured against the position requirements of the individual, and should far exceed the contributions and service of others with comparable responsibilities.

Nomination official: Unspecified

Approving official: SECNAV

Nomination/approval procedures:

- a. Activity prepares and forwards nomination package to major command.
- b. Major command endorses and forwards package to SECNAV via Department of Navy Awards Review Panel (DARP).
- c. SECNAV signs and presents certificate and medal.

Reference: OCPMINST 12451.1

Note: involves no inherent monetary award.

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TIME OFF AWARD

Form of award: 1-80 hours time off per leave year. Increments are not to exceed 40 hours.

Eligibility: DON civilian employees. (See page 19 for awards scale guide)

Purpose of award: Increase employees' productivity and creativity by rewarding their contributions to the quality, efficiency, or economy of government operations.

Nomination official: Unspecified

Approving official: Supervisors (1 -8 hours depending on activity policy); activity heads (1-40 hours)

Nomination/approval procedures:

- a. Supervisor prepares PPI SF-52, sets limit on length of time employee has to use time off (not to exceed 1 year from issuance), authorizes time off for 8 hours or less (if activity policy allows) and forwards approval to HRO for processing.
- b. Activity head approves awards greater than 8 hours and forwards to HRO for processing.
- c. HRO reviews and forwards to HRSC for input and processing of SF-50.

Reference:

FPM Letter 451 -10 of 3 Feb 93
DoD 1400.25-M, Subchapter 451

Note:

1. Time-Off Awards must be entered into computer system and the payroll system before recipient may use the awarded time off.
2. Time-Off Award is unique among civilian awards because it may be used both as a non-monetary. incentive award any time, or as a performance award.

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CAREER SERVICE AWARD (Length of Service Award)

Form of award: Certificate and pin.

Eligibility: All DOD employees paid from appropriated funds.

Purpose of award: To recognize length of satisfactory Federal Service.

Nomination official: None

Approving official: Activity head

Nomination/approval procedures: HRO Pensacola has an automatic process in place. Monthly reports provide listings of individuals and their entitlements. From the listings, certificates are prepared and forwarded with the pins to each activity listed.

Reference: DOD 5120.16

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PRESIDENTIAL LETTER OF APPRECIATION

Form of award: Letter of Appreciation from President of the United States on White House letterhead.

Eligibility: Federal civilian employees who are retiring after 30 or more years of federal service.

Purpose of award: Presidential acknowledgment of dedicated federal service.

Nomination official: Unspecified

Approving official: Activity head or designee

Nomination/approval procedures:

- a. Activity prepares request for Letter of Appreciation
- b. Activity head or designee signs and forwards request to the White House Liaison Office in one of the following ways:
 - (1) via mail to:

Office of the Secretary of the Navy
White House Liaison Office
Pentagon Room 5E725
Washington, D.C. 20350-1000
 - (2) via FAX to DSN 225-0699 or (703) 695-0699. Voice telephone number is DSN 227-5529 or (703) 657-5529.
- c. Letter of Appreciation is sent to address specified in request.
- d. Activity arranges for ceremony and presents Letter of Appreciation as desired.

Reference: None

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SPECIAL ACT OR SERVICE AWARD

Form of award: Monetary award.

Eligibility: All DON civilian employees except NAF

Purpose of award: Award employees or groups of employees for a non-recurring contribution either within or outside normal job responsibilities,

Nomination official: Any manager

<u>Approving official:</u>	<u>Approval authority:</u>
President	above \$25,000
OPM	\$10,001 - \$25,000 for individual & groups
SECNAV	\$7,501 - \$10,000
Major command	\$5,001 - \$7,500
Activity head	up to \$5,000 for individual Up to \$ 10,000 for group

Nomination/approval procedures:

- a. Activity determines award amount appropriate for the contribution by consulting the Tangible and Intangible Benefits charts. (See pages 17 and 18)
- b. Submits PPI SF-52 with justification identified in Remarks (Page 4, Part D) to HRO for processing.
- c. HRO reviews and forwards to HRSC for input and processing of SF-50 so that payment can be made by direct deposit.

References:

SECNAVINST 12451.3
DOD 1400.25-M, Subchapter 451

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ON-THE-SPOT AWARD

Form of award: Monetary award from \$25 - \$750.

Eligibility: All DON civilian employees except NAF

Purpose of award: Award employees for one-time achievements for exceptional performance beyond normal job responsibilities.

Nomination official: Any manager

Approving official: Activity head

Nomination/approval procedures:

- a. Supervisor prepares PPI SF-52 with justification identified in Remarks (Page 4, Part D) and forwards approval to HRO for processing.
- b. HRO reviews and forwards to HRSC for input and processing of SF-50 so that payment can be made by direct deposit.

Reference:

SECNAVINST 12451.3

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BENEFICIAL SUGGESTION AWARD

Form of award: Monetary award for adopted suggestions which identify tangible benefits of \$250 or more. Award is proportionate to amount of tangible and/or intangible savings to the government. (See pages 17 and 18)

Eligibility: Civilian employees and military members. Contractor employees and private citizens may submit suggestions but are not eligible for monetary awards.

Purpose of award: Recognize employees or groups of employees for ideas which benefit the government in cost savings

Nomination official: Beneficial Suggestion evaluator

Approving official: Head of benefiting activity

Nomination/approval procedures:

- a. Suggester submits suggestion to HRO on OPNAV 5303/1 Form.
- b. HRO coordinates investigation of suggestion at suggester's activity.
- c. Activity adopts or rejects suggestion.
- d. Activity prepares PPI SF-52 with justification identified in Remarks (Page 4, Part D) and forwards approval to HRO for processing.
- e. HRO processes to HRSC if suggestion is adopted and award is recommended.

Reference:

DODINST 5120.16
OPNAVINST 1650.8
SECNAVINST 12451.3
OCPMINST 12451.1

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INVENTION AWARD

Form of award: Initial monetary award of \$200 to DON inventors. Award of \$500 to DON inventors when Patent or Statutory Inventions Registration (SIR) is granted. Multiple inventors or co-inventors receive no less than \$250.

Eligibility: Civilian employees.

Purpose of award: Formally recognize employee inventions with a Letter Patent or SIR when issued.

Nomination official: None

Approving official: Secretary of the Navy or General Counsel

Nomination/approval Procedures:

- a. Employee forwards ideas to the Office of Patent/SIR for filing.
- b. The Office of Patent Counsel forwards to HRO.
- c. Patent/SIR application is approved before the U.S. Patent and Trademark Office.
- d. Activity prepares PPI SF-52 with justification identified in Remarks (Page 4, Part D) and forwards approval to HRO for processing.
- e. HRO processes to HRSC for initial award payment.

Reference:

DODINST 5120.16
SECNAVINST 5870.3B
OPNAVINST 1650.8

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PERFORMANCE AWARDS

Form of award:

- a. Monetary
 - C.O. may award up to 10% of employee's base salary
 - Major command head may award up to 20% of employee's base salary
 - Major command's ceiling = 1.5% of command employees' aggregate base salaries
- b. Quality Step Increase (QSI), 5 CFR 531.504 & DoD 1400.25-M, Subchapter 451
 - Accelerated within-grade increase
 - Based on sustained high level performance
 - Employee may receive QSI every 52 weeks
- c. Time Off Award (1 to 40 hours)

Eligibility: Civilian employees rated "acceptable". NAF employees are excluded.

Purpose of award: Recognize performance.

Nomination official: Employee's first-level supervisor

Approving official: Activity head or designee

Nomination/approval procedures:

- a. Supervisor prepares PPI SF-52 with justification identified in Remarks (Page 4, Part D) and forwards through chain of command for approval
- b. Activity head or designee approves and forwards to HRO
- c. HRO reviews and forwards to HRSC for input and processing of SF-50 so that payment can be made by direct deposit.

Reference:

SECNAVINST 12451.3
DoD 1400.25-M, Subchapter 451
5 CFR 451.104(g)

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SCALE OF RECOMMENDED AWARD AMOUNTS BASED ON TANGIBLE BENEFITS

BENEFITS	AWARD
<u>Estimated first-year benefits to Government</u>	<u>Amount of award to employee</u>
Up to \$10,000 in benefits	10% of benefits
Between \$10,000 and \$100,000 in benefits	\$1,000, plus 3% to 10% of benefits over \$10,000
More than \$100,000 in benefits	\$3,700 to \$10,000 for the first \$100,000 in benefits, plus 0.5% to 1.0% of benefits above \$100,000, up to \$25,000, with approval of the Office of Personnel Management via the Office of the Secretary of Defense. Presidential approval is required for all awards of more than \$25,000.

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SCALE OF RECOMMENDED AWARD AMOUNTS BASED ON INTANGIBLE BENEFITS

VALUE OF BENEFITS	EXTENT OF APPLICATION			
	LIMITED Affects functions, mission, or personnel of one facility, installation, regional area, or an organizational element of headquarters. Affects a small area of science or technology.	EXTENDED Affects functions, mission, or personnel of an entire regional area, command, or bureau Affects an important area of science or technology.	BROAD Affects functions, mission, or personnel of several regional areas of commands, or an entire department or agency. Affects an extensive area of science or technology.	GENERAL Affects functions, mission, or personnel of more than one department/agency, or is in the public interest throughout the Nation and beyond.
MODERATE VALUE Change or modification of an operating principle or procedure with limited impact or use.	\$25-\$500	\$501-\$750	\$751 - \$1,000	\$1,001 - \$1,500
SUBSTANTIAL VALUE Substantial change or modification of procedures. An Important improvement to the value of a product, activity, program, or service to the public.	\$501-\$750	\$751 - \$1,000	\$1,001 - \$1,500	\$1,501 - \$3,150
HIGH VALUE Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product or service,	\$751 - \$1,000	\$1,001 - \$1,500	\$1,501 - \$3,150	\$3,151 - \$6,300
EXCEPTIONAL VALUE Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$1,001 - \$1,500	\$1,501 - \$3,150	\$3,151 - \$6,300	\$6,301 - \$10,000

TIME-OFF AWARDS SCALE

<u>Value to Organization</u>	<u>Number of Hours</u>
<p>Moderate:</p> <p>(1) A contribution to a product, activity, program, or service to the public, which is of sufficient value to merit formal recognition.</p> <p>(2) Beneficial change or modification of operating principles or procedures.</p>	1 to 10
<p>Substantial:</p> <p>(1) An important contribution to the value of a product, activity, program, or service to the public.</p> <p>(2) Significant change or modification of operating principles or procedures.</p>	11 to 20
<p>High:</p> <p>(1) A highly significant contribution to the value of a product, activity, program, or service to the public.</p> <p>(2) Complete revision of operating principles or procedures, with considerable impact.</p>	21 to 30
<p>Exceptional:</p> <p>(1) A superior contribution to the quality of a critical product, activity, program, or service to the public.</p> <p>(2) Initiation of a new principle or major procedure, with significant impact.</p>	31 to 40