



# Department of Defense INSTRUCTION

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USD(P&R)

SUBJECT: DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Awards and Recognition

References: See Enclosure 1

## 1. PURPOSE

a. Instruction. This Instruction is composed of several volumes, each containing its own purpose. The purpose of the overall Instruction, in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), is to establish and implement policy, establish procedures, provide guidelines and model programs, delegate authority, and assign responsibilities regarding civilian personnel management within the Department of Defense.

### b. Volume

(1) 2000 Volume Series. The 2000 Volume series of this Instruction, in accordance with the authority in Reference (a) and DoDDs 5143.01, 1400.25, and 1400.35 (References (b), (c), and (d)), establishes policy, assigns responsibilities, and provides guidance for DCIPS. Hereafter the 2000 Volume series of this Instruction shall be referred to as “the DCIPS Volumes.”

(2) Volume. This Volume, in accordance with the guidance in the Intelligence Community Directive Number 655 (Reference (e)), establishes policy, assigns responsibilities, and provides guidance for DCIPS awards and recognition programs.

## 2. APPLICABILITY. This Volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the “DoD Components”).

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b. Does not apply to employees covered by the Federal Wage System or equivalent, non-appropriated fund employees or foreign national employees. It does not apply to members of the Defense Intelligence Senior Executive System or the Defense Intelligence Senior Level unless specifically addressed in other volumes of this Instruction.

3. DEFINITIONS. Unless otherwise noted, these terms and their definitions apply to this Volume of this Instruction.

a. award. An item of value bestowed or action taken to recognize and reward individual or team achievement that contributes to meeting organizational goals or improving the efficiency and effectiveness of the Government, or is otherwise in the public interest.

b. awards program. The specific procedures and requirements established in a DoD Component for granting awards pursuant to this Volume.

c. DoD Components with DCIPS positions. Defined in Volume 2001 of this Instruction.

d. monetary award. An award in which the means of recognition is a lump-sum cash payment. No monetary award shall increase the employee's rate of pay. The DCIPS pay-for-performance process is the means for increasing an employee's rate of pay.

e. non-monetary award. An award in which the means of recognition has a purely honorific value, such as a letter, certificate, medal, plaque, or other item of nominal cash value.

f. time-off award. Defined in Volume 451 of this Instruction.

4. POLICY. It is DoD policy that:

a. DCIPS awards and recognition programs serve as important components of the overall DCIPS compensation philosophy by creating a positive work environment and a culture of recognition that continually identifies and rewards contribution to mission. Properly applied, awards and recognition programs provide management a continuous means of communicating important organizational and mission values.

b. DCIPS awards programs shall complement but not duplicate or undermine pay-for-performance outcomes.

c. DCIPS awards are discretionary.

d. DCIPS awards programs shall promote the overall efficiency and effectiveness of the DoD Components with DCIPS positions.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. Enclosure 3 provides guidance for DCIPS awards and recognition programs.
  
7. RELEASABILITY. UNLIMITED. This ~~Instruction~~ *Volume* is approved for public release and is available on the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.
  
8. EFFECTIVE DATE. This ~~Instruction~~ *Volume* is effective ~~60 days from date signed~~ on *October 8, 2009*.



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Enclosures

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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R)),” June 23, 2008
- (b) DoD Directive 5143.01, “Under Secretary of Defense for Intelligence (USD(I)),” November 23, 2005
- (c) DoD Directive 1400.25, “DoD Civilian Personnel Management System,” November 25, 1996
- (d) DoD Directive 1400.35, “Defense Civilian Intelligence Personnel System (DCIPS),” September 24, 2007
- (e) Intelligence Community Directive Number 655, “National Intelligence Award Program,” May 23, 2007
- (f) Sections 1603 and 1612 of title 10, United States Code
- (g) Sections 2301, 2302, and 4502 of title 5, United States Code

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R) shall coordinate with the Under Secretary for Defense for Intelligence (USD(I)) on DCIPS awards policies and monitor their effects on DoD-wide personnel readiness.
  
2. USD(I). The USD(I) shall:
  - a. Establish policies, in coordination with the USD(P&R), governing awards programs affecting DCIPS employees.
  
  - b. Ensure that DCIPS awards and recognition programs comply with sections 1603 and 1612 of title 10, United States Code (U.S.C.) (Reference (f)).
  
  - c. Monitor compliance with this Volume within the DoD Components with DCIPS positions through established reporting requirements.
  
3. HEADS OF THE DoD COMPONENTS WITH DCIPS POSITIONS. The Heads of the DoD Components with DCIPS positions shall:
  - a. Publish regulations and guidance implementing DCIPS awards policy for the DCIPS positions and personnel within their Components.
  
  - b. Monitor compliance with this Volume and respond to reporting requirements established by the USD(I).
  
  - c. Ensure their awards programs do not inadvertently encourage or provide incentives for actions detrimental to another DoD Component.

ENCLOSURE 3

**GUIDANCE FOR DCIPS AWARDS AND RECOGNITION PROGRAMS**

1. GENERAL. In setting budgets for monetary awards, the DoD Components with DCIPS positions shall ensure that awards programs do not potentially reduce the impact of payouts made through, or undermine the processes used by, the DCIPS pay-for-performance system set forth in Volume 2012 of this Instruction. Awards budgets shall be determined in consideration of the goals of DCIPS pay-for-performance and the use of bonuses rather than monetary awards to reward performance.

a. The DoD Components with DCIPS positions may establish length of service awards to recognize employees as they pass meaningful career milestones. Such programs shall consist of non-monetary forms of recognition such as certificates, pins, letters, or other commemorative items, and shall not be paired with monetary awards intended to recognize specific achievements or outcomes. Length of service awards shall normally be presented soon after the employee attains eligibility. However, the date of presentation may be set within a reasonable period of time after the date of eligibility to arrange presentation ceremonies for employees or groups of employees.

b. Awards programs and practices, including those for suggestions and inventions that are being implemented and honorary and time-off awards, shall generally conform to Volume 451 of this Instruction. Other than the specific limitations in section 2 of this enclosure, nothing in this Volume should be construed to limit an employee's eligibility under the Department of Defense, Intelligence Community, or Federal Government awards and recognition programs.

2. EXCEPTIONS TO VOLUME 451 OF THIS INSTRUCTION. Specific exceptions to Volume 451 of this Instruction for DCIPS awards are:

a. Monetary awards payable to employees assigned to the DCIPS pay-banding structure pursuant to this Volume shall consist only of lump sum monetary awards. No quality step increases or other permanent salary increases shall be paid as awards to employees in DCIPS pay bands.

b. DCIPS employees are eligible for monetary awards for special one-time acts and efforts, but are not eligible for monetary awards designed to recognize performance. DCIPS employee performance shall be recognized in the annual payouts provided through the DCIPS pay-for-performance provisions of Volume 2012 of this Instruction.

c. A monetary award paid to a DCIPS employee shall be an appropriate amount relative to the special act or effort, shall not exceed \$2,000 without an exception to policy approved by the Head of the DoD Component with DCIPS positions, and shall be consistent with the DCIPS pay-for-performance philosophy.

d. Time-off awards shall be consistent with the policy in Volume 451 of this Instruction, except that a time-off award cannot be used in lieu of or as a supplement to a DCIPS performance payout to an employee. However, a time-off or other incentive award may be considered at any time during the performance cycle to recognize the employee for a specific accomplishment or act.

3. MONETARY AWARDS. Monetary awards shall be used to reward special one-time acts or other extraordinary efforts, and may be used to acknowledge an individual or team contribution or exceptional accomplishment at any time. Monetary awards shall not be used to reward performance based on an evaluation of record. Recognition of such performance may be made through non-monetary awards and through the performance-based pay increases or bonuses provided in Volumes 2011 and 2012 of this Instruction.

4. NON-MONETARY AWARDS. Non-monetary awards, to include time-off awards, shall be used to recognize and reward sustained superior accomplishments and achievements, and may be used to acknowledge an individual or team contribution or exceptional accomplishment at any time. Time-off awards may be used in a manner consistent with the policy in Volume 451 of this Instruction, except as specified in paragraph 2.d. of this enclosure.

#### 5. ELIGIBILITY FOR AWARDS

a. Impact of Employee Ratings. Awards shall be granted only to employees with current overall performance evaluations or ratings of record of “Successful” or higher under the DCIPS performance management system. Employees with current overall ratings of “Unacceptable” or “Minimally Successful” are not eligible for awards. If an employee does not have a rating from the DCIPS performance management system at the time an award is contemplated, the DoD Component shall determine if the latest rating is equivalent to “Successful” under the DCIPS system prior to granting an award. DoD Components shall exercise discretion in determining award eligibility for new employees and others who have not received an evaluation of record from any system.

b. Adverse Actions. Employees who have been demoted or suspended in the past 12 months for performance or conduct reasons, or who are facing adverse actions such as removal, demotion, or suspension after a finding by a deciding official as addressed in Volume 2009 of this Instruction, are not eligible for awards.

c. Merit Principles. Awards programs shall be implemented consistent with the merit principles identified in section 2301 of title 5, U.S.C. (Reference (g)).

d. Prohibited Practices. Awards programs shall be implemented free of the unlawful discrimination and prohibited personnel practices identified in section 2302 of Reference (g).



e. Restriction on Permanent Pay Increases. No permanent pay increase shall be paid as an award pursuant to this Volume. Permanent pay increases shall be provided only through the procedures outlined in Volumes 2011 and 2012 of this Instruction.

f. Grievances. The grievance procedures of the DoD Components with DCIPS positions shall include the provision that non-receipt, type, or amount of a DCIPS award shall not be grievable.

6. AWARDS PROGRAM PLANS. The DoD Components with DCIPS positions shall develop awards program plans that:

a. Specify the organizational goals the awards program is intended to further.

b. State the awards program budget.

c. Clearly distinguish the awards program budget and procedures from DCIPS pay-for-performance processes and payouts.

d. Ensure that monetary awards are used judiciously as a form of recognition for employees that complements but that does not in any way detract from, reduce the impact of, or undermine the impact of pay-for-performance and pay pool processes.

e. Ensure the delegation of authorities to the lowest practical levels.

f. Identify roles and responsibilities for developing, planning, communicating, executing, and evaluating the success of the awards program.

7. PROGRAM REVIEW. The USD(I) shall review the awards plans and the execution of the awards programs of the DoD Components with DCIPS positions as part of the USD(I) assessment of Defense Intelligence Enterprise-wide total compensation practices. Specific details, requirements, and metrics will be provided in Volume 2013 of this Instruction. The USD(I) shall assess Component awards programs for their success in:

a. Appropriately complementing the DCIPS compensation strategy so as not to undermine the impact of pay-for-performance.

b. Motivating, recognizing, and rewarding eligible personnel.

c. Exhibiting a close demonstrable link between the accomplishment or contribution to DoD Component and Defense Intelligence Enterprise goals and the receipt of an award.

d. Providing awards commensurate with the value of the contribution or accomplishment.

e. Delivering awards in a timely fashion.

f. Being perceived by employees, supervisors, and managers to be effectively administered, equitable, and to have a positive impact on mission.

8. DoD AND PRESIDENTIAL AWARDS. This Volume does not limit use of DoD and Presidential awards. DCIPS employees are eligible for DoD and Presidential awards in accordance with the policies, procedures, and rules applicable to those awards.

9. DEFENSE INTELLIGENCE COMMUNITY AWARDS. The USD(I) may establish DoD awards for individuals or groups for especially meritorious conduct in service to the Defense Intelligence Community. Award amounts for individuals shall be in accordance with section 4502 of Reference (g). The USD(I) shall provide annual guidance for the criteria, nomination, and approval processes for such awards.

10. NATIONAL INTELLIGENCE COMMUNITY AWARDS PROGRAMS. The DoD Components with DCIPS positions may participate in Intelligence Community awards programs as provided by Reference (e) to recognize distinguished service or exceptional contributions to the Intelligence Community within and beyond the Department of Defense.

11. AWARDS FOR NON-DCIPS EMPLOYEES. DoD Components with DCIPS positions must comply, as applicable, with the criteria established in this Volume when granting awards to non-DCIPS employees.