


# MANAGEMENT DIRECTIVE

## Commonwealth of Pennsylvania Governor's Office

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| <b>Subject:</b><br>Governor's Awards for Excellence  | <b>Number:</b><br>505.32 Amended   |
| <b>Date:</b><br><br>September 27, 2016   | <b>By Direction of:</b><br><br>Sharon P. Minnich, Secretary of<br>Administration |
| <b>Contact Agency:</b><br>Office of Administration, Office for Human Resources and Management, Bureau of<br>Workforce Planning, Development, and Equal Employment Opportunity, Telephone<br>717.787.3813 |  |

**This directive establishes policy, responsibilities, and procedures for administering the Governor's Awards for Excellence Program as part of the commonwealth's overall employee recognition program and provides agencies with guidelines and parameters for implementing the program. Marginal dots are excluded due to major changes.**

- 1. PURPOSE.** To establish policy, responsibilities, and procedures for administering the Governor's Awards for Excellence Program as part of the commonwealth's overall employee recognition program and provide agencies with guidelines and parameters for implementing the program.
- 2. SCOPE.** This directive applies to all departments, boards, commissions, and councils (hereinafter referred to as "agencies") under the Governor's jurisdiction.
- 3. OBJECTIVE.**
  - a.** To recognize commonwealth employees for exemplary job performance or service that reflects initiative, leadership, innovation and increased efficiency.
  - b.** To enhance employee morale, motivation, and productivity in a meaningful and cost-effective manner.
  - c.** To provide agencies with guidelines and parameters for implementing the Governor's Awards for Excellence Program.

#### 4. DEFINITIONS.

- a. **Agency (Central Office) Human Resource Director.** The office or director located in the agency's headquarters, typically in or near Harrisburg.
- b. **Governor's Awards for Excellence Nomination Review Committee.** The committee responsible for reviewing each award nomination and making recommendations to the Governor's Awards for Excellence Selection Committee. The nomination review committee shall consist of seven management employees and two union representatives. The two union representatives will be chosen from the unions that participate in this program and may be rotated on an annual basis. The management representatives shall consist of two agency members from different agencies and one member each from the Office of Administration's (OA), GO TIME and Bureau of Workforce Planning, Development, and Equal Employment Opportunity, Office of the Budget (OB), a member of the Governor's executive leadership team, and one at-large member. Designation of individuals and duration of membership will be at the discretion of the Deputy Secretary for Human Resources and Management.
- c. **Governor's Awards for Excellence Program.** A program which recognizes state employees who, through exemplary job performance or service, best promote the good of the commonwealth's citizens or advance state government.
- d. **Governor's Awards for Excellence Selection Committee.** The committee responsible for reviewing nominations and recommendations made by the Governor's Awards for Excellence Nomination Review Committee and selecting award recipients. The selection committee shall consist of the Secretary of Administration, Secretary of the Budget, a member of the Governor's executive leadership team, GO-TIME Director, and Deputy Secretary for Human Resources and Management.
- e. **Nomination Levels.** Levels of the nomination process include:
  - (1) **Nominee.** Any nominated employee who has been considered by the Nomination Review Committee.
  - (2) **Finalist.** Any nominated employee who has been considered by the Selection Committee but not selected as a recipient.
  - (3) **Recipient.** Any nominated employee who has been chosen by the Selection Committee to receive a Governor's Award for Excellence.

#### 5. POLICY.

- a. The Governor's Awards for Excellence are awarded to individual employees and/or teams of employees for work-related achievements. Each nomination must include a substantive and clear description of the achievement and be supported by factual data in accordance with the following guidelines:
  - (1) Supports internal and/or external customers in ways that exceed expectations and result in positive and/or noteworthy outcomes.

- (2) Demonstrates highly effective and/or innovative techniques that inspire and/or lead others to contribute constructively to reaching the desired vision.
  - (3) Initiates effective approaches and/or solutions to resolve problems that impede progress.
  - (4) Designs, develops, and/or implements innovative methods or processes that improve or enhance responsiveness and quality.
  - (5) Provides sustained superior work performance resulting in exceptional quality, productivity, and/or creativity.
  - (6) Demonstrates superior performance in completing an assignment or special project.
  - (7) Identifies improvements to practices, policies, and/or program designs that result in substantial cost savings, cost prevention, and/or revenue enhancement.
  - (8) Enhances the image and/or prestige of an agency, the commonwealth, and/or public service.
- b. Governor's Awards for Excellence Nomination Review Committee members cannot participate in the review and selection of any nomination that conflicts with or affects their respective areas of responsibility.

## **6. RESPONSIBILITIES.**

- a. **Governor.** Participates in recognizing the recipients of the Governor's Awards for Excellence and presents, or assigns a delegate to present, the awards.
- b. **Secretary of Administration.**
- (1) Administers the commonwealth-wide Governor's Awards for Excellence Program.
  - (2) Ensures the development of program policy and procedures.
  - (3) Serves as chairperson of the Governor's Awards for Excellence Selection Committee.
  - (4) Ensures the coordination of and participates in the annual awards ceremony.
- c. **Deputy Secretary for Human Resources and Management.**
- (1) Establishes the Governor's Awards for Excellence Nomination Review Committee.

- (2) Appoints a chairperson from among the Governor's Awards for Excellence Nomination Review Committee to serve in this capacity for the committee.

**d. Office of Administration.**

- (1) Develops and maintains policy and procedures for administering the Governor's Awards for Excellence Program.
- (2) Coordinates the administrative functions associated with implementing the program.
- (3) Responds to program questions from agencies.
- (4) Follows up with agencies to request clarification and/or additional information regarding nominations, as necessary.
- (5) Determines the award(s) and award categories for the Governor's Awards for Excellence.
- (6) Acknowledges nominations received and formally recognizes award recipients.
- (7) Ensures the publicity for nominations and announcement of award recipients.

**e. OB, Comptroller Operations.** Ensures that recognition program costs adhere to commonwealth standards and practices:

- (1) The cost of providing an agency award or ceremony is reasonable and appropriate to the achievement being cited.
- (2) Travel and lodging expenses, if applicable, for award recipients and participating dignitaries are justified and reasonable.
- (3) Whenever possible, travel and lodging rates should be within prescribed state allowances. Guests of award recipients and other attendees will be responsible for their own travel and subsistence expenses.
- (4) The commonwealth shall not pay for the cost of alcoholic beverages.
- (5) Awards are to be funded consistent with fiscal standards and procedures established herein and by OB.
- (6) Individual and group awards may be funded through revenue generated and/or cost savings achieved by employees and employee work teams. The content and funding of these awards will be made consistent with standards and procedures established herein and by OA and/or OB.

**f. Governor's Awards for Excellence Nomination Review Committee.**

- (1) Reviews all nominations received from agency heads or designees.

- (2) Provides recommendations to the Governor's Awards for Excellence Selection Committee regarding selection and awards.

**g. Governor's Awards for Excellence Selection Committee.**

- (1) Reviews nominations and recommendations forwarded by the Governor's Awards for Excellence Nomination Review Committee.
- (2) Determines award recipients.

**h. Agency Head.**

- (1) Ensures that supervisors and managers are aware of their responsibility to recognize outstanding job-related service, achievement, or accomplishment.
- (2) Ensures that all eligible employees within the organization are considered for nomination.
- (3) Signs and dates each agency nomination that will be forwarded to OA, attests to the validity of the information prescribed in the nomination, and supports the employee's or group of employees' nomination for consideration of an award.
- (4) Works in conjunction with the agency (central office) Human Resource Director and ensures that when an accomplishment is exemplary, a nomination is forwarded to an email resource account maintained by the Office of Administration for consideration of the Governor's Awards for Excellence.

**i. Manager or Supervisor.**

- (1) Promotes the Governor's Awards for Excellence Program and encourages employees to submit nominations.
- (2) Participates in the program as a nominator of deserving employees.
- (3) Acknowledges those employees who were nominated and/or selected for an award.

**j. Nominator.**

- (1) Identifies and nominates individual employees and/or groups of employees for recognition in accordance with commonwealth and/or agency policy for the Governor's Awards for Excellence Program.
- (2) Signs and dates the nomination that will be forwarded to the agency central human resource office, and attests to the validity and accuracy of the information prescribed in the nomination.

**k. Agency (Central Office) Human Resource Director.**

- (1) Ensures the development and implementation of the agency's administrative procedures for nominating employees for the Governor's Awards for Excellence.
- (2) Publicizes the program to create an active interest.
- (3) Reviews nominations and makes recommendations in accordance with agency and commonwealth guidelines.
- (4) Ensures and attests that each nominee has not received a less than satisfactory overall rating on the most recent Employee Performance Review.
- (5) Reports for each nominee any disciplinary action(s) received and the time period of the action(s) and any criminal conviction(s) and the time period(s) involved.
- (6) For individual or group nominations, including employees from other agencies, coordinates with other affected agency (central office) Human Resource Directors. Ensures and attests to the validity of the information for each nominee within the group.
- (7) Maintains records of employees receiving awards in accordance with established policies.
- (8) Responds to employee inquiries relating to the Governor's Awards for Excellence.
- (9) Provides employees who do not have computer access with a hard copy of the information pertaining to the Governor's Awards for Excellence Program.
- (10) Signs and dates each agency nomination that will be forwarded to OA, attests to the validity and accuracy of the information prescribed in the nomination form, and supports the employee's or group of employees' nomination for consideration of an award.
- (11) Ensures that copies of correspondence and certificates, as appropriate, are placed in employees' Official Personnel Folders.

**7. PROCEDURES.**

**a. Nomination Criteria.** Within the nomination year, one or more of the following criteria must be met in the performance of job duties:

- (1) The service, achievement, or accomplishment must go beyond an individual agency program and have multi-agency impact.
- (2) The service, achievement, or accomplishment must have significant impact on the general public, or the life, safety, or property of another (others).

- (3) The service, achievement, or accomplishment must have significantly enhanced the image, prestige, or effectiveness of the commonwealth.
- (4) The development of commonwealth policy or improved methods or procedures has resulted in significant increased productivity, cost-savings or revenue enhancements, innovation, efficiency, or service to the commonwealth.

**b. Nominations.**

- (1) All permanent full-time or part-time commonwealth employees, with the exception of agency heads, deputy secretaries, chief counsels, and equivalent positions, are eligible to be nominated, including those employees who are retired, separated, on leave without pay, or deceased. Each nominee must have been a permanent full-time or part-time commonwealth employee and actively performed the duties described in the nomination during the calendar year preceding the nomination period.
- (2) Group nominations are limited to no more than 10 employees within a group.
- (3) Each nominee must not have received a less than satisfactory overall rating on the most recent Employee Performance Review. Nominees with disciplinary actions or criminal convictions will be considered on a case-by-case basis.
- (4) Nominators must be commonwealth employees. Contractors and members of the general public cannot submit nominations, nor can they be nominated.
- (5) Nominations must identify only one nominator. In the event that a nomination lists multiple nominators, only the first name listed will be included in any correspondence and/or invitation, as appropriate.
- (6) Names of nominators will not be anonymous.
- (7) The Governor's Awards for Excellence Nomination Form is available online from the Office of Administration.
- (8) Employees without access to computers should request a hard copy of the form from their agency human resource office.
- (9) Nominations made by employees should be forwarded to the agency (central office) Human Resource Director in accordance with agency procedures.
- (10) Nominations for the Governor's Awards for Excellence should consist of no more than four pages, excluding supporting information/material, and must be submitted electronically by the agency (central office) Human Resource Director or official designee to an email resource account maintained by the Office of Administration.

- (11) Nominations for the Governor's Awards for Excellence must be submitted within the prescribed time period and format. Excluding the completed nomination form, all appropriate supporting information/material should contain no more than five pages to substantiate the reasons for the nomination and should be included with the completed nomination form (e.g., letters of commendation or appreciation, description of work projects, press releases, verification of savings, etc.). To the extent possible, supporting materials should be submitted electronically to an email resource account maintained by the Office of Administration.
  - (12) All eligible nominations endorsed by the agency head or official designee and forwarded from the agency (central office) Human Resource Director will be reviewed by the Governor's Awards for Excellence Nomination Review Committee. Nominations received without the endorsement of the agency head or official designee and agency (central office) Human Resource Director will not be considered.
  - (13) At the discretion of the Governor's Awards for Excellence Nomination Review Committee, follow up may occur with affected agencies for clarification and/or additional information.
  - (14) All employees nominated by an agency head for the Governor's Awards for Excellence may also be considered by the nominating agency for agency recognition awards.
  - (15) Award recipients, finalists, and nominees will receive recognition as appropriate for their service, achievement, or accomplishment.
  - (16) Each nominee's performance must clearly be beyond that which would be expected from an employee who is fulfilling all of the duties and requirements of the job.
  - (17) Each agency shall publicize the Governor's Awards for Excellence Program to ensure that employees, supervisors, and managers are aware of the program and to encourage recognition of outstanding or exceptional job performance or service. Although no minimum or maximum goal exists, each agency should attempt to submit at least one nomination per year. Larger agencies should strive for greater participation. There is no limit to the number of nominations an agency may submit.
- c. **Selection Process.** Nominated employees are referred to as nominees. The Nomination Review Committee evaluates each nomination and advances to the Selection Committee those that best represent award program standards. Advanced nominees are thereafter referred to as finalists. The Selection Committee assesses each finalist and designates those that will receive a Governor's Award for Excellence. Those selected to receive an award are thereafter referred to as recipients. Each nominee, finalist, and recipient receives appropriate acknowledgement. The Selection Committee may choose award recipients from among all nominations, regardless of whether they were advanced by the Nomination Review Committee.



- d. Awards and Ceremony.** The Secretary of Administration will determine the awards and related events for the Governor's Awards for Excellence Program. Guest lists for the recognition and presentation event will be based on the number of award recipients and be limited to award recipients, guests and nominators of recipients, and invited dignitaries.

**This directive replaces, in its entirety, *Management Directive 505.32*, dated November 17, 2010.**