

**NATIONAL WEATHER SERVICE INSTRUCTION 1-403
SEPTEMBER 29, 2003**

**Administration and Management
Human Capital, NWSPD 1-4**

SMART Suggestions

NOTICE: This publication is available at: <http://www.nws.noaa.gov/directives/>.

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SUMMARY OF REVISIONS:

<u>/signed/</u>	<u>9/15/03</u>
I. T. David	Date
Chief Financial Officer	
/Chief Administrative Officer	

SMART SUGGESTIONS

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1. Introduction. The purpose of this procedure is to provide guidance for use of the Department of Commerce (DOC) SMART (Save Money And Reduce Taxes) Suggestion Program. The National Weather Service (NWS) follows other National Oceanic and Atmospheric Administration (NOAA) and DOC guidelines as applicable (see Department Administrative Order (DAO) 202-454).

Supervisors and managers should encourage employee participation and provide assistance if requested. Managers must implement adopted suggestions and authorize payment of cash awards in a timely manner.

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- 1.1 Definition. A suggestion is a proposal submitted in writing by one or more Federal employees to enhance the efficiency and effectiveness of the Department's or Government's operations.
- 1.2 Eligibility. Suggestions must contribute directly to efficiency, economy, or improvement of Government operations, and must:
 - a. improve working conditions, procedures, operating methods, or equipment;
 - b. speed up production;
 - c. conserve material or property;
 - d. save human resources, money, or energy; or
 - e. produce tangible or intangible benefits.
- 1.3 Ineligible Suggestions. Suggestions are not eligible for submission and will be returned to sender if they:
 - a. call attention to needed maintenance, building repair, grounds or parking lots
 - b. relate solely to employee benefits, i.e., vending machines, food service, restrooms, parking lots, holidays or insurance;
 - c. standard safety practices;
 - d. cosmetics preferences;
 - e. vague complaints without a proposed solution;
 - f. primarily benefit suggestion conveyer or are within the normal scope of job expectations; and
 - g. do not include cost savings (estimates).
- 1.4 Grievability. Adoption is a management prerogative and not grievable.
2. Form Guidelines. Suggestions must be submitted on a SMART Idea Suggestion form (see Attachment 1).
 - 2.1 Form. Complete all areas of form. Additional information may be submitted on plain paper. Include as sketches, photos, diagrams, models, or other methods of clarifying suggestion.
 - 2.2 Signature. Sign the form agreeing that the U. S. Government may use the suggestion without incurring any further claim by the suggestion conveyer or heirs.
3. Authorship. Filing of a SMART Suggestion does not imply the idea will be used, only that it will be considered. Suggestions become the property of the NWS, NOAA, and/or the DOC.
4. Submission. NWS Headquarters personnel should submit SMART Suggestions to NOAA Human Resources (HR). NWS regional headquarters and field personnel should submit

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SMART Suggestions through their Administrative Support Center (ASC). Complete addresses can be found in Appendix B. Suggestions will be forwarded to Management and Organization Division (W/CFO3) by HR or ASC and reviewed by NWS Headquarters program personnel. Notification of adoption or non-adoption will come from NOAA HR or the appropriate ASC focal point.

5. Evaluation. Suggestions received in NWS Headquarters will be assigned to an appropriate evaluator. Evaluators have four calendar weeks to respond. Although, this is adequate for most administrative suggestions, more time may be granted if models must be constructed or if outside estimates of time and cost are required. Evaluators should request extensions to original due date through Betty Dodds, W/CFO3. Employees submitting suggestions will not be notified of extensions but may request status assurance the suggestion remains in evaluation. Send status requests through submission location.

APPENDIX A - Guide to Evaluators

A. Points to consider while evaluating a SMART Suggestion:

1. Review the file promptly upon receipt ensuring the suggestion has been assigned to the appropriate evaluating office. If not, return to W/CFO3 for rerouting.
2. Has the person clearly identified a problem in the suggestion?
3. Is the intent clear? Has the suggestion conveyer provided a solution and an estimated cost savings?
4. Are current procedures or practices in place known to the person submitting the suggestion? Does the suggestion offer viable improvement?

B. If you are recommending adoption:

1. The evaluation should summarize the idea.
2. State the reasons for adoption, including benefits to the organization. These may be first-year estimated dollar savings or intangible benefits.
3. Estimate when the suggestion will be implemented.
4. Identify benefits to other organizations or agencies.
5. Establish the recommended amount of the award based on benefits identified. (See DAO-451.)

C. If you are not recommending adoption:

1. Summarize the idea suggested (restate in your own terms).
2. State specific reasons why the suggestion cannot be used.
3. Phrase your non-adoption in a positive way. Avoid negative words such as “reject,” “impractical,” and “gadget.”
4. Thank the person submitting the suggestion for taking the time to submit an idea and encourage future participation in the SMART suggestion program.

APPENDIX B - References

DAO 202-451 - APPENDIX E, SUPERIOR ACCOMPLISHMENT AWARDS
Section D, Part .02, Suggestions, dated 8/14/90

DAO 202-454 - Suggestion Program, 8/14/90

Submission Addresses:

NWS Headquarters employees should submit suggestions to:

National Oceanic and Atmospheric Administration
OFA41, ATTN: Jennifer Heyob
Room 12510, SSMC4
1315 East West Highway
Silver Spring, MD 20910

NWS regional and field personnel should submit suggestions to their appropriate servicing ASC:

EASC:

NOAA Eastern Administrative Support Center
Norfolk Federal Building
200 Granby Street, Rm 815
Norfolk, VA 23510

CASC:

NOAA Central Administrative Support Center
601 East 12th Street
Kansas City, MO 64106-2808

MASC:

NOAA Mountain Administrative Support Center
325 Broadway
Boulder, CO 80305-2228

WASC:

NOAA Western Administrative Support Center
7600 Sand Point Way, N. E.
Seattle, Washington 98115-6349

Appendix C - S*M*A*R*T* Bonus Idea Registration Form

SUGGESTER — Complete all numbered items in Parts I and II

FORM CD-36 (REV. 2-83) PRESCR. BY DAO 202-451		U.S. DEPARTMENT OF COMMERCE		1. Date submitted	CONTROL NO. (Do Not Use)
 Idea Registration Part I — Complete Items 1 through 9		2. Suggestion Title			
		4. Send communications to: (Office or home address)			
SEND TO  Office of Organization and Management Systems Office of the Secretary		3. Suggester (Type or print name)			
5. Position title		6. Grade			
7. Organization unit		8. Office phone (Code and extension)			
9. CERTIFICATION — I hereby agree that the use of this suggestion by the United States shall not form the basis for a claim of any nature upon the United States by me, my heirs, or assigns 				Signature of Employee	
This information is held confidential until suggestion is recommended for adoption.					
10. Ineligible Suggestions: The following types of suggestions, unless they have a significant impact on energy conservation, are not eligible for processing in the Suggestion Program and should be handled through administrative channels: <ul style="list-style-type: none"> • Proposals which merely call attention to the need for routine maintenance or repair work, • Improvements in working conditions, such as air conditioning, decorations, furniture, • Proposals for services and benefits to employees such as vending machines, cafeteria services, restroom facilities, parking facilities, or holidays, • Routine or safety practices such as normal protective devices, removal of obstructions, or installation of warning and traffic signs, • Proposals for improvements which the employee would normally be expected to accomplish, • Proposals which vaguely state a problem but do not propose a specific method or way to solve the problem, • A personal complaint or grievance, • Proposals from non-employees, and • Suggestions concerning obvious typographical, clerical, or drafting errors. 					
11. Comments (For Incentive Awards Officers Use Only)					

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Part II - Complete Items 1, 2, 3, 4, and 5

FORM CD-36 (REV. 2-83)	U.S. DEPARTMENT OF COMMERCE S*M*A*R*T BONUS *Save Money And Reduce Taxes	1. Date submitted	CONTROL NO. (Do not use)
		2. Suggestion Title	

3. Describe present procedures or conditions.

4. Explain your suggestion (How it will work, what it will do, and where it can be used).

5. State benefits to government (Show savings where possible).
