

DOE/ORO CONTROL FORM - ORO FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS

2. **PURPOSE OF TRANSMITTAL:** New Directive Revised Directive

3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom? Bechtel Jacobs Co. ORAU UT-Battelle

Other contractors (list by type)

Many ORO contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impact? No Yes

If yes, describe: This ORO chapter is part of the ORO sunset review. Changes to this chapter include: (1) editorial revisions to update DOE Order (DOE O 331.1B, Change 1); (2) major updates to paragraph 4, "Responsibilities"; (3) updates to paragraph 6, "References"; (4) subparagraphs 7c and 7d have been added to paragraph 7, "Definitions"; and (5) Attachments 3, 4, 5, 6, and 7 have been added.

5. **CONTACT POINT:** Carol Aytes Personnel Management and Analysis Branch, AD-442 576-9586
Name Organization Telephone

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	09/10/1999	ORO Control Form	05/19/2003
ORO O 330, Chapter II, Chg. 1, Pages II-1 thru II-12	09/10/1999	ORO O 330, Chapter II, Chg. 2, Pages II-1 thru II-15	05/19/2003

ORO Directives are available on the ORO Directives Management Home Page at http://www.ornl.gov/doe_oro_dmg/oro_dir.htm. The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

Original Signed By
Wayne H. Albaugh 05/19/2003
Signature: DMG Team Leader, AD-440 Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED

Rev. 01/10/2003

NNSA/YSO DIRECTIVES CONTROL FORM – FINAL DIRECTIVE

PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

DIRECTIVE NUMBER, TITLE, AND DATE:

ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS, dated 05/19/2003

PURPOSE OF TRANSMITTAL: New Directive Revised Directive

DOES THIS DIRECTIVE **CANCEL/REPLACE OR EXTEND** ANY OTHER DIRECTIVES? Yes No
If "Yes," list what action (cancel/replace or extend) and list the directive(s), including the number(s), title(s), and date(s):

This Order cancels ORO O 330, Chapter II, Change 1, INCENTIVE AWARDS, dated 09/10/1999.

The attached directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **06/06/2003**.

PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

CONTRACTOR APPLICABILITY:

Does this directive affect the work performed by BWXT Y-12, L.L.C.? Yes No

Does this directive affect the work performed by BWXT Y-12, L.L.C., subcontractors? Yes No

If "Yes," list the subcontractors:

Many contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

SIGNIFICANT PROVISIONS: Are there any significant changes or impact? Yes No

List summary of directive changes and, if "Yes" above, describe the significant changes or impact:

IMPLEMENTATION: Does the directive contain special implementation requirements and/or dates? Yes No

If "Yes," describe:

FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?

Is a new or revised supplemental directive required? Yes No

If "Yes," target date for submission of draft supplemental directive is _____.

IDENTIFY CONTACT POINT: James R. Martin 576-0868
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten, COR for Dir. 07/03/2003 576-9330
Signature Date Telephone

PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

*DOE Directives are available on the DOE Directives, Regulations, Policies, and Standards Portal at <http://www.directives.doe.gov/>.
ORO Directives are available on the ORO Directives Management Group Home Page at http://www.ornl.gov/doe_oro_dmg/oro_dir.htm.
Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Original Signed By
Jennifer G. Hamilton, AD-440 07/08/2003
Name Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.

(Revised 01/10/2003)

U.S. Department of Energy

Oak Ridge Operations

ORO O 330
Chapter II
Change 2

DATE: 05/19/2003

SUBJECT: INCENTIVE AWARDS

1. PURPOSE. This chapter correlates to DOE O 331.1B, Change 1, DEPARTMENTAL EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated July 12, 2001, by assigning responsibility and accountability and providing administrative guidance to Oak Ridge Operations (ORO) and the Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) directive.
2. CANCELLATION. This chapter cancels and replaces ORO O 330, Chapter II, Change 1, INCENTIVE AWARDS, dated September 10, 1999.
3. APPLICABILITY. The provisions of this chapter apply to all ORO and OSTI employees except those in the Senior Executive Service. Incentive awards are discretionary actions. Grievance procedures do not apply to the granting of, or failure to grant, an award to an employee under this directive.
4. RESPONSIBILITIES.
 - a. Manager, ORO; and Director, OSTI.
 - (1) Perform those tasks identified in DOE O 331.1B, Change 1, subparagraph 5e (5) and (6).
 - (2) Approve Exceptional Service Awards.
 - (3) Approve/disapprove adoption of Employee Suggestions.
 - b. Assistant Managers, ORO.
 - (1) Performs those tasks identified in DOE O 331.1B, Change 1, subparagraph 5e(3) and (7).
 - (2) Approve Quality Step Increases (QSI), Special Act or Service Recognition, and Managerial/Supervisory Performance Recognition.
 - (3) Review suggestion award nominations and recommend adoption or non-adoption.
 - c. Assistant Director for Office of Administration and Information Services (ADAIS), OSTI.
 - (1) Establishes and administers a budget for OSTI monetary awards at the beginning of each fiscal year and certifies funds availability for each award.

- (2) Reviews and forwards OSTI monetary and time off award nominations to the Human Resources Division for appropriate action.
 - (3) Approves/disapproves all monetary award nominations.
 - (4) Approves/disapproves QSI.
 - (5) Forwards employee suggestions to the appropriate Assistant Director for review and recommendation of adoption or non-adoption.
- d. Director, Human Resources Division (HRD), ORO.
- (1) Performs those tasks identified in DOE O 331.1B, Change 1, subparagraph 5e(1), (2), and (8).
 - (2) Coordinates the Incentive Awards Program.
 - (3) Authorizes the granting of career service emblems.
 - (4) Reviews nominations for ORO employee recognition for regulatory compliance; prepares an SF-50, Notification of Personnel Action, and prepares an award certificate. Forwards award certificates and employee copy of the SF-50 to the recommending official for presentation to the recipient.
 - (5) Reviews nominations for OSTI employee recognition for regulatory compliance; prepares an SF-50; and transmits the SF-50 to the OSTI Office of Assistant Director for Administration and Information Services for presentation to the recipient(s).
 - (6) Orders and maintains adequate stocks of awards paraphernalia and other supplies.
- e. Director, Planning and Budget Division, ORO.
- (1) Establishes a budget for ORO monetary awards based on direction from the Senior Management Board.
 - (2) Allocates funds for monetary awards to each ORO organization at the Assistant Manager level and above. Each organization receiving an allocation will be responsible for certifying funds availability at the time an award is submitted.
 - (3) Certifies that funds are available for monetary suggestion awards.
- f. ORO Principal Staff.
- (1) Approve nominations for On-the-Spot recognition that are recommended by supervisors at the next lower echelon for ORO.
 - (2) Approve Time-Off recognition of more than 8 hours that is recommended by supervisors at the next lower echelon.

- g. Each Manager and Supervisor, ORO and OSTI.
 - (1) Nominates employees for recognition, completes the nomination form, and forwards to the HRD for ORO nominations and to the ADAIS for OSTI for appropriate action.
 - (2) Inputs nomination into DOE Corporate Human Resources Information System (CHRIS) Workflow and sends directly to the HRD.
 - (3) Initiates Managerial/Supervisory Performance Recognition (MSPR) for supervisors in their organization who have earned a summary performance rating of Significantly Exceeds Expectations (SEE) or Meets Expectations (ME).
 - (4) Verifies that funds are available for monetary recognition as part of the approval process before initiating nomination.
- h. Employees. Each employee contributes special thought and effort necessary to his or her participation in improving the effectiveness, efficiency, and economy of Departmental and government operations and service to the public.
- 5. REQUIREMENTS AND PROCEDURES. Procedures for processing nominations for incentive awards are described in the attachments of this chapter.
- 6. REFERENCES.
 - a. Title 5 Code of Federal Regulations (CFR), Part 451, AWARDS.
 - b. Title 5 CFR, Part 531, PAY UNDER THE GENERAL SCHEDULE, Subpart E, *Quality Step Increases*.
 - c. DOE O 331.1B, DEPARTMENTAL EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated March 14, 2001.
 - d. DOE Policy Document Modification, *Performance Management System for Managers and Supervisors*, Chapter I, dated September 11, 2002.
 - e. Standard Form SF-50, *Notification of Personnel Action*.
 - f. Office of Personnel Management (OPM) Form 71, *Request for Leave or Approved Absence*.
 - g. Office of Scientific and Technical Information (OSTI) Form, OSTI F 331.1, *Special Act or Service Recognition*.
 - h. *General Schedule Supervisory Guide*.
- 7. DEFINITIONS.
 - a. **Time Off Recognition.** Recognition of superior accomplishment or other personal effort (individual or group) that contributes to the quality, efficiency, or economy of government operations. Full-time employees may be awarded an amount up to 40 hours and may be awarded a maximum limit of 80 hours per leave year. Part-time employees may be awarded an

amount up to one-half of the number of hours of work in the employee's biweekly scheduled tour of duty. Part-time employees may be awarded a maximum limit which equals the number of hours of work in the employee's biweekly scheduled tour of duty per leave year. The award is applicable to any ORO or OSTI employee.

- b. **Special Act or Service Recognition.** Recognition granted for a one-time act, service, or other non-recurring accomplishment that is in the public interest and connected with or related to official employment. This type of recognition can be appropriate when performance is substantially beyond expectations on a specific assignment or aspect of an assignment or job function, or for a single scientific achievement, act of heroism, or similar one-time special act, or accomplishment of a non-recurring nature. A nomination which is based substantially upon aspects of an employee's assigned duties and responsibilities does not meet the eligibility criteria for special act or service award. The award is applicable to any ORO or OSTI employee.
 - c. **Quality Step Increase.** Recognition granted for sustained performance of high quality significantly above that expected at the "meets expectations" level in the position concerned as determined under the performance appraisal plan. The employee's most recent performance rating must be at the highest level attainable in the performance appraisal system. The rate of basic pay for the employee will increase from one step of the grade of his/her current position to the next higher step of that grade. Only one QSI may be received in a 52-week period. The recognition is applicable to only ORO and OSTI employees whose positions are classified in the General Schedule (GS) system and those employees remaining in the Merit Pay (GM) system.
 - d. **Managerial/Supervisory Performance Recognition (MSPR).** Recognition of performance at the SEE level or at the ME level. Recognition at the SEE level is to be equivalent to no less than 5 percent of base pay as required by the Headquarters Performance Management System for Managers and Supervisors. The MSPR is applicable to only those ORO and OSTI supervisors and managers whose positions meet the definition of a manager or supervisor as described in the General Schedule Supervisory Guide. This includes supervisors and managers in the Excepted Service at Pay Band V and below.
8. **CONTRACTOR REQUIREMENTS DOCUMENT.** None.
 9. **ATTACHMENTS.**
 - a. Attachment 1 – NOMINATION FOR EMPLOYEE RECOGNITION FORM.
 - b. Attachment 2 – INSTRUCTIONS FOR ON-THE-SPOT RECOGNITION.
 - c. Attachment 3 – INSTRUCTIONS FOR TIME OFF RECOGNITION AND SCALE.
 - d. Attachment 4 – INSTRUCTIONS FOR SPECIAL ACT OR SERVICE RECOGNITION AND SCALES.
 - e. Attachment 5 – INSTRUCTIONS FOR QUALITY STEP INCREASE (QSI).
 - f. Attachment 6 – INSTRUCTIONS FOR MANAGERIAL/SUPERVISORY PERFORMANCE RECOGNITION.
 - g. Attachment 7 – INSTRUCTIONS FOR EMPLOYEE SUGGESTION RECOGNITION.

**OAK RIDGE OPERATIONS OFFICE
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
NOMINATION FOR EMPLOYEE(S) RECOGNITION**

1. AWARD NOMINEE(S): _____

2. ORGANIZATION: _____

3. CURRENT TITLE, SERIES, GRADE: _____

4. AWARD TYPE:

_____ ON-THE-SPOT \$: _____ (ORO \$50 - \$500) (OSTI \$25 - \$500)

_____ TIME OFF: # OF HOURS _____ (see award scale)

_____ SPECIAL ACT OR SERVICE: RECOMMENDED \$: _____ (see award scale)

_____ MANAGERIAL/SUPERVISORY PERFORMANCE AWARD: RECOMMENDED %: _____

_____ QUALITY STEP INCREASE (QSI):

A. RECOMMENDATION COVERS SERVICE FROM: _____ TO: _____

B. HOW LONG IN POSITION AND GRADE RECOMMENDATION IS FOR: _____

C. DUE DATE OF NEXT REGULAR WITHIN GRADE INCREASE: _____

D. CURRENT STEP: _____

E. DATE OF LAST QSI (IF ANY) _____

5. COST CENTER CODE: _____ FUNDS AVAILABLE: _____
SIGNATURE & ROUTING SYMBOL OF FUNDS CERTIFYING OFFICIAL

6. RECOGNITION JUSTIFICATION ATTACHED: _____ YES _____ NO

7. CERTIFICATE WORDING ATTACHED: _____ YES _____ NO

8. _____
Recommending Official's (Name, Title, and Signature) Date

9. _____
Award Nominee's Supervisor's Approval, if not listed above (Name, Title, and Signature) Date

10. _____
Final Approving Official, if required (Name, Title, and Signature) Date

Personnel Official Signature

Date

EFFECTIVE DATE OF AWARD

PRIVACY ACT STATEMENT: Title 5 U.S.C., Chapter 45, Incentive Awards, authorizes solicitation of this information. The information will be used by the agency to determine employee's eligibility for an award under 5 U.S.C., section 4505 and 4507. This information may be shared with law enforcement agencies when they are investigating a violation or potential violation of the civil or criminal law. The Social Security Number (SSN) is requested under the authority of Executive Order 9397 (11/22/43) for the orderly administration of personnel records. Submission of the SSN is voluntary and failure to furnish the SSN on this form will have no effect on the award. The personal information obtained from this form will be maintained in system of record DOE-1, DOE Personnel and General Employment Records.

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
ON-THE-SPOT (OTS) RECOGNITION**

1. BASIS. Recognition of a significant deed or accomplishment performed with exceptional and unanticipated speed and quality under difficult or unusual circumstances.
2. ELIGIBILITY. Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee is eligible.
3. RECOGNITION AMOUNT. Awards will not be less than \$50 for ORO employees and \$25 for OSTI employees. The maximum amount of an OTS award is \$500 per individual.
4. RECOMMENDING AND APPROVING OFFICIALS.

ORO: Each OTS nomination must include: (1) a recommending official (branch chief or above), (2) and approving/disapproving official at least one level of management higher than the recommending official, and (3) certification from the appropriate office manager that funds are available.

OSTI: Each OTS nomination must include: (1) a recommending official (Assistant Director) and (2) the approval/disapproval of the Assistant Director for Administration and Information Services (ADAIS).

5. PROCEDURES AND RESPONSIBILITIES.

a. ORO: The Planning and Budget Division will allocate funds for monetary awards at the Assistant Manager level and above at the beginning of each fiscal year based upon an amount authorized by the Senior Management Board. Each organization that is allocated funds is responsible for adhering to its allocation. The award will be charged to the recommending official's organization account.

OSTI: The ADAIS will establish a budget for monetary awards at the beginning of each fiscal year and will certify funds availability of each award.

b. ORO: The recommending official may be either the employee's supervisor (Branch Chief or above) or another supervisor at the Branch Chief level or above. If the recommending official is not the employee's supervisor, the nomination must be routed through the employee's supervisor for concurrence.

OSTI: The recommending official may be either the employee's supervisor (Assistant Director or above) or another supervisor at the Assistant Director level or above. If the recommending official is not the employee's supervisor, the nomination must be routed through the employee's supervisor for concurrence.

c. ORO: The approving/disapproving official will be the employee's second-level supervisor or the next level of supervision above the recommending official unless the latter is the Manager of ORO.

OSTI: The approving/disapproving official will be the ADAIS.

d. ORO: Within 30 days after the accomplishment on which the nomination is based, the recommending official will submit the "Nomination for Employee(s) Recognition" form to the ORO Personnel and Management Analysis Branch (PMAB). The nomination must include: (1) written justification which states the basis of the award (i.e., the accomplishment, circumstances that warrant recognition, and the value or impact of the employee's contribution); and (2) wording for the OTS certificate.

OSTI: Within 30 days after the accomplishment on which the nomination is based, the recommending official shall submit to the Office of the ADAIS OSTI F. 331.1, "Special Act or Service Recognition" form located on OSTI's Intranet. The ADAIS will forward the nomination form to the PMAB for processing.

e. All nominations are to be entered into CHRIS Workflow by the recommending official.

f. ORO: The PMAB will review the OTS nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action; and prepare an award certificate. The employee copy of the SF-50 and the award certificate will be provided to the organization which recommended the award.

OSTI: The PMAB will review the OTS nomination for regulatory compliance and prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the Office of ADAIS.

g. The award certificate, nomination form with justification, and employee SF-50 should be presented to the employee in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
TIME OFF RECOGNITION**

1. BASIS. Recognition of the superior accomplishment or other personal effort (individual or group) that contributes to the quality, efficiency, or economy of government operations. See the Time Off Recognition Scale for examples of achievements for which the award is appropriate.
2. ELIGIBILITY. Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee.
3. RECOGNITION AMOUNT. Full-time employees may be awarded up to 40 hours. Part-time employees may be awarded up to one-half of the number of hours of work in the employee's biweekly scheduled tour of duty. For example, an employee who works 64 hours a pay period could be granted up to 32 hours for a time off award.
4. LIMITATIONS. Full-time employees may be awarded a maximum of 80 hours per leave year. Part-time employees may be awarded a maximum which equals the number of hours of work in the employee's biweekly scheduled tour of duty per leave year. For example, an employee who works 64 hours a pay period may be granted a maximum of 64 hours of time off per leave year.
5. PROCEDURES AND RESPONSIBILITIES.
 - a. ORO: Time off nominations for 8 hours or less shall be approved by the employee's first-level supervisor. Nominations for more than 8 hours shall include: (1) a recommending official (branch chief or above); (2) the concurrence of the employee's supervisor (if not the recommending official); and (3) the approval of recommending official's supervisor or above, unless the latter is the Manager of ORO.

OSTI: All time off nominations shall include: (1) a recommending official (Assistant Director or above); (2) the concurrence of the employee's supervisor (if not the recommending official); and (3) the approval/disapproval of the Assistant Director for Administration and Information Services (ADAIS).
 - b. The recommending official shall complete the "Nomination for Employee(s) Recognition" form. ORO nominations shall be submitted to the Personnel and Management Analysis Branch (PMAB). OSTI nominations shall be submitted to the OSTI Office of the ADAIS and forwarded to the PMAB. ORO and OSTI nominations shall include: (1) written justification stating the basis for the recognition, i.e., the accomplishment, the circumstances that warrant recognition, and the value or impact of the employee's contribution (as defined in the Time Off Recognition Scale for Single Contribution); and (2) wording for the certificate.
 - c. All nominations are to be entered into CHRIS Workflow by the recommending official.
 - d. ORO: The PMAB shall review the award nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action, and prepare an award certificate. The SF-50 and award certificate should be provided to the recommending official for presentation to the recipient.

OSTI: The PMAB shall review the award nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the Office of the ADAIS for presentation.
 - e. The SF-50 and award certificate should be presented to the recipient in the presence of an appropriate audience (i.e., coworkers in the immediate organization).
 - f. The award recipient shall complete OPM Form 71, "Request for Leave or Approved Absence," to schedule Time Off awarded. The leave shall be approved by the recipient's supervisor.
 - g. Time Off Awards shall be granted in whole hour increments, may be used in 15 minute increments, and is to be scheduled and used within 1 year after the award is granted.
 - h. Time and Attendance (T&A) clerks shall record the leave under the Time Off Recognition leave code.

TIME OFF RECOGNITION SCALE FOR A SINGLE CONTRIBUTION

<u>VALUE TO ORGANIZATION</u>	<u>NUMBER OF HOURS</u>
<u>Moderate:</u> a. A contribution to a product, activity, program, or service to the public, which is of sufficient value to merit formal recognition. b. Beneficial change or modification of operating principles or procedures.	1 to 10
<u>Substantial:</u> 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.	11 to 20
<u>High:</u> 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
<u>Exceptional:</u> 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

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
SPECIAL ACT OR SERVICE (SAS) RECOGNITION**

1. **BASIS**. Recognition granted for a one-time act, service, or other nonrecurring accomplishment by an employee or group of employees that is in the public interest and connected with or related to official employment. This type of recognition is appropriate when performance is substantially beyond expectations on a specific assignment, a single scientific achievement, act of heroism, or similar one-time special act or accomplishment.
2. **ELIGIBILITY**. Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee.
3. **RECOGNITION AMOUNT**. The maximum amount that may be approved locally is \$7,500. The recognition may be based on Tangible or Intangible contributions, see the appropriate SAS scale.
4. **LIMITATIONS**. There is no limit on the amount of a group award as long as no individual award to any member of the group exceeds \$7,500. Individual amounts exceeding \$7,500 must be approved by the Secretary of Energy. Amounts exceeding \$10,000 for an individual must have OPM approval.
5. **PROCEDURES AND RESPONSIBILITIES**.
 - a. ORO: The Planning and Budget Division will allocate funds for monetary awards at the Assistant Manager level and above at the beginning of each fiscal year based upon an amount authorized by the Senior Management Board. Each organization that is allocated funds is responsible for adhering to its allocation. The award will be charged to the recommending official's organization account.

OSTI: The Assistant Director for Administration and Information Services (ADAIS) will establish a budget for monetary awards at the beginning of each fiscal year and will certify funds availability of each award.
 - b. ORO: Each SAS award nomination must include (1) a recommending official (Branch Chief or above); (2) the concurrence of the employee's supervisor (if not the recommending official); (3) the approval of recommending official's Assistant Manager or above, unless the latter is the Manager of ORO; and (4) certification from the appropriate Office Manager that funds are available.

OSTI: Each SAS award nomination must include: (1) a recommending official (Assistant Director or above); (2) the concurrence of the employee's supervisor (if not the recommending official); and (3) the approval of the ADAIS or above.
 - c. ORO: The recommending official shall submit to the Personnel and Management Analysis Branch (PMAB): (1) the "Nomination for Employee(s) Recognition" form; (2) wording for the certificate; and (3) justification in the format described below.

OSTI: The recommending official shall submit to the Office of the ADAIS: (1) OSTI F 331.1 "Special Act or Service Recognition," form located on OSTI's Intranet. The ADAIS will forward the nomination form and justification to the PMAB for processing.
 - d. Justification format for:

INTANGIBLE: (1) reason for the award, (2) value of benefit, (3) extent of application, and (4) recommended award amount.

TANGIBLE: (1) reason for the award, (2) estimated first year benefits to the government, and (3) recommended award amount.
 - e. **All nominations are to be entered into CHRIS workflow by the recommending official.**
 - f. ORO: The PMAB shall review the SAS nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action, and prepare an award certificate. The SF-50 and award certificate will be provided to the recommending official for presentation to the recipient.

OSTI: The PMAB shall review the SAS nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the Office of the ADAIS for presentation.
 - g. The SF-50 and SAS certificate should be presented to the recipient in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

**RECOGNITION SCALE FOR TANGIBLE BENEFITS FROM SUGGESTIONS, INVENTIONS,
AND SPECIAL ACTS OR SERVICES**

<u>Estimated First-Year Benefits to Government</u>	<u>Amount of Award</u>
Up to \$10,000	20% of benefit
\$10,001 - \$100,000	\$2,000 for the first \$10,000 plus 3% of benefits over \$10,000
\$100,001 or more	\$4,700 for the first \$100,000 plus 0.5% of benefits over \$100,000

1. The minimum award for tangible benefits may be granted only when the benefits reach or exceed \$500.
2. Awards in excess of \$10,000 must be certified to the Office of Personnel Management for approval.

**RECOGNITION SCALE FOR INTANGIBLE BENEFITS FROM SUGGESTIONS, INVENTIONS,
AND SPECIAL ACTS OR SERVICES**

	Value of Benefit			
	Limited	Extended	Broad	General
	Affects function, mission, or personnel of one office, facility, installation, or an organizational element of headquarters (e.g., Division or Branch). Affects a small area of science or technology.	Affects function, mission, or personnel of several offices, facilities, or installations (e.g., more than one Division or Branch). Affects an important area of science or technology.	Affects functions, mission, or personnel of an entire regional area of command. May be applicable to all of an independent agency or a large bureau (e.g., ORO, OSTI). Affects a broad area of science or technology.	Affects functions, mission, or personnel of several regional areas or an entire department or large independent agency (e.g., DOE, NNSA) or is in the public interest throughout the Nation or beyond.
MODERATE VALUE – Change or modification of an operating principle or procedure which has moderate value, sufficient to meet the minimum standards for a cash award. An improvement of rather limited value of a product, activity, program, or service to the public.	\$50 - \$120 (compare with \$600 - \$1,200 tangible benefit)	\$120 - \$300 (compare with \$1,200 - \$3,000 tangible benefit)	\$300 - \$600 (compare with \$3,000 - \$6,000 tangible benefit)	\$600 - \$1,200 (compare with \$6,000 - \$12,000 tangible benefit)
SUBSTANTIAL VALUE – Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.	\$120 - \$300 (compare with \$1,200 - \$3,000 tangible benefit)	\$300 - \$600 (compare with \$3,000 - \$6,000 tangible benefit)	\$600 - \$1,200 (compare with \$6,000 - \$12,000 tangible benefit)	\$1,200 - \$3,000 (compare with \$12,000 - \$72,000 tangible benefit)
HIGH VALUE – Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, program, or service to the public.	\$300 - \$600 (compare with \$3,000 - \$6,000 tangible benefit)	\$600 - \$1,200 (compare with \$6,000 - \$12,000 tangible benefit)	\$1,200 - \$3,000 (compare with \$12,000 - \$72,000 tangible benefit)	\$3,000 - \$6,000 (compare with \$72,000 - \$423,000 tangible benefit)
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.	\$600 - \$1,200 (compare with \$6,000 - \$12,000 tangible benefit)	\$1,200 - \$3,000 (compare with \$12,000 - \$72,000 tangible benefit)	\$3,000 - \$6,000 (compare with \$72,000 - \$423,000 tangible benefit)	\$6,000 - \$12,000 (compare with \$432,000 - \$1,632,000 tangible benefit)

1. The minimum award for intangible benefits must require a comparably high standard in determining cash awards for contributions with intangible results. The value to the government must be comparable to those contributions receiving equivalent awards on the basis of tangible results.
2. Individual awards in excess of \$7,500 must be approved by the Secretary of Energy.
3. Awards in excess of \$10,000 must be certified to the Office of Personnel Management for approval.

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
QUALITY STEP INCREASE (QSI)**

1. **BASIS.** Recognition of an employee for excellence in performance. It is not to be used to recognize: (1) a significant deed or accomplishment performed with exceptional/unanticipated speed and quality under difficult circumstances nor (2) for any one-time act, service, or other nonrecurring accomplishment by an employee. Regulations pertaining to QSI criteria can be found in 5 CFR 531, Subpart E.
2. **ELIGIBILITY.** Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee in the General Schedule (GS) system or any employee remaining in the merit pay (GM) system who is not at the top of the scale for his/her grade.
3. **RECOGNITION AMOUNT.** Rate of basic pay will increase from one step of the grade of the employee's position to the next higher step of that grade.
4. **LIMITATIONS.** Only one QSI may be received in a 52-week period.
5. **PROCEDURES AND RESPONSIBILITIES.**
 - a. ORO: Each QSI nomination must include: (1) a recommending official (employee's Branch Chief or above); and (2) the approval of recommending official's Assistant Manager or above, unless the latter is the Manager of ORO.

OSTI: Each QSI nomination must include: (1) a recommending official (employee's Assistant Director or above); and (2) the approval of Assistant Director for Administration and Information Services (ADAIS) or above.
 - b. ORO: The recommending official shall submit to the Personnel and Management Analysis Branch (PMAB): (1) the "Nomination for Employee(s) Recognition" form; (2) copy of the employee's most recent performance rating and corresponding performance appraisal plan; (3) wording for the certificate; and (4) justification in the format described below.

OSTI: The recommending official shall submit to the Office of the ADAIS: (1) the "Nomination for Employee(s) Recognition" form, (2) copy of the employee's most recent performance rating and corresponding performance appraisal plan, and (3) justification in the format described below. The ADAIS will forward the nomination form and justification to the PMAB for processing.
 - c. **All nominations are to be entered into CHRIS Workflow by the recommending official.**
 - d. Each QSI justification must address: (1) that the employee's most recent performance rating of record is at the highest summary level used by the program (i.e., Meets Expectations for the pass/fail system and Significantly Exceeds Expectations for the managerial/supervisory system); (2) how the employee has demonstrated sustained performance of high quality significantly above that expected at the fully successful level in the position concerned as determined by the performance elements in the employee's appraisal plan for at least the past 52 weeks; and (3) that the supervisor is confident that this level of performance will continue.
 - e. ORO: The PMAB shall review the award nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action, and prepare the QSI certificate. The SF-50 and certificate will be provided to the recommending official for presentation to the recipient.

OSTI: The PMAB shall review the award nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the Office of the ADAIS for presentation.

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
MANAGERIAL/SUPERVISORY PERFORMANCE RECOGNITION (MSPR)**

1. **BASIS.** Recognition of performance at the Significantly Exceeds Expectations (SEE) and/or Meets Expectations (ME) levels.
2. **ELIGIBILITY.** Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) managers and supervisors whose positions meet the definition of a manager or supervisor as described in the General Schedule Supervisory Guide including managers and supervisors in the excepted service at the Pay Band V and below.
3. **RECOGNITION AMOUNT.** For those with a performance rating of SEE, recognition is to the higher amount of the following: (1) equivalent to no less than 5 percent of the employee's base pay or (2) twice the highest amount of a manager or supervisor with a rating of ME and who is receiving an MSPR award.
4. **LIMITATIONS.** Employee's most recent performance rating of record must be at the SEE or ME level.
5. **PROCEDURES AND RESPONSIBILITIES.**
 - a. ORO: The Planning and Budget Division will allocate funds for MSPR at the Assistant Manager level and above at the beginning of each fiscal year as authorized by the Senior Management Board. Each organization that is allocated funds is responsible for adhering to its allocation.

OSTI: The Assistant Director for Administration and Information Services (ADAIS) will establish a budget for MSPR at the beginning of each fiscal year and will certify funds availability of each award.
 - b. ORO: Each MSPR nomination must include: (1) a recommending official (employee's Division Director or above); and (2) the approval of recommending official's Assistant Manager or above, unless the latter is the Manager of ORO.

OSTI: Each MSPR nomination must include: (1) signature of the employee's immediate supervisor; and (2) the approval of the ADAIS for funds availability.
 - c. ORO: The recommending official shall submit to the Personnel and Management Analysis Branch (PMAB): (1) the "Nomination for Employee(s) Recognition" form identifying the type of recognition to be given; (2) copy of the employee's most recent performance rating and corresponding performance appraisal plan; and (3) wording for the certificate. **For MSPR given at the ME level additional justification must be provided which addresses why recognition at this level is warranted.**

OSTI: The recommending official shall submit to the Office of the ADAIS: (1) the "Nomination for Employee Recognition" form identifying the type of recognition to be given; and (2) a copy of the employee's most recent performance rating and corresponding performance appraisal plan. **For MSPR given at the ME level additional justification must be provided which addresses why recognition at this level is warranted.** The ADAIS will forward the nomination form and performance rating information to the PMAB for processing.
 - d. All nominations are to be entered into CHRIS Workflow by the recommending official.
 - e. ORO: The PMAB shall review the MSPR nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action, and prepare a MSPR certificate. The SF-50 and certificate will be provided to the recommending official for presentation to the recipient.

OSTI: The PMAB shall review the MSPR nomination for regulatory compliance; and prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the Office of ADAIS for presentation.

**OAK RIDGE OPERATIONS
OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION
EMPLOYEE SUGGESTION RECOGNITION**

1. BASIS. Recognition of a constructive idea that, when officially submitted in writing and adopted by management, directly contributes to the economy, efficiency, or increased effectiveness of Government operations or achieves a significant reduction in paperwork, man-hours, resources, etc.
2. ELIGIBILITY. Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee.
3. RECOGNITION AMOUNT. Award amount will be determined by applicable recognition scale for the type of recognition given. For example, if the employee is to receive time off as recognition for an adopted suggestion, the Time Off recognition scale will be used to determine the recognition amount. If the employee is to receive cash, then the appropriate recognition scale for either Tangible or Intangible benefits is to be used.
4. RECOMMENDING AND APPROVING OFFICIALS.

ORO: The Assistant Manager or his/her designee, whose organization will be responsible for implementation of the suggestion, if adopted, will be responsible for: (1) reviewing the suggestion; (2) recommending approval or disapproval; (3) determining the award amount; and (4) verifying that funds are available if recognition is monetary.

The Manager, ORO, will approve or disapprove adoption of the employee suggestion.

OSTI: The Assistant Director, or his/her designee, whose organization will be responsible for implementation of the suggestion, if adopted, will be responsible for: (1) reviewing the suggestion; (2) recommending approval or disapproval; (3) determining the award amount; and (4) verifying funds are available if recognition is monetary.

The Director, OSTI, will approve or disapprove adoption of the employee suggestion.

5. PROCEDURES AND RESPONSIBILITIES.

- a. ORO: Employees will submit their suggestions in the format described in subparagraph 5b to the Personnel and Management Analysis Branch (PMAB). The PMAB will: (1) record receipt of the suggestion; (2) determine if the employee has already received any form of recognition for the suggestion; (3) initiate the Employee Suggestion Evaluation Form and complete the appropriate portion; and (4) forward the Form along with the employee's suggestion to the Assistant Manager whose organization will be responsible for implementation, if adopted, for evaluation.

The PMAB will also notify the employee when the suggestion has been forwarded to the appropriate Assistant Manager.

OSTI: Employee will submit their suggestions in the format described in subparagraph 5b to the Assistant Director for Administration and Information Services (ADAIS). The ADAIS will: (1) check with the PMAB to determine if the employee has already received any form of recognition for the suggestion; (2) initiate the Employee Suggestion Evaluation Form and complete the appropriate portion; and (3) forward the form along with the employee's suggestion to the Assistant Director whose organization will be responsible for implementation for evaluation, if adopted.

The ADAIS will also notify the employee when the suggestion has been forwarded to the appropriate Assistant Director.

- b. Employees submitting suggestions for consideration must do so in writing and include the following information:
 - 1. Suggestor(s)' name, title, and organization
 - 2. Title of suggestion
 - 3. Reason for suggestion
 - 4. Benefit of suggestion and impact
 - 5. Organization responsible for implementation
- c. Within 30 days of receipt of the suggestion, the appropriate Assistant Manager, ORO, or the appropriate Assistant Director, OSTI, will review the suggestion and recommend either adoption or non-adoption to the Manager, ORO, or the Director, OSTI, as applicable.
- d. ORO: If additional time is needed in order to make a decision regarding the recommendation of adoption or non-adoption, the PMAB will be notified in writing; e.g., by e-mail, the reason for the needed additional time and the anticipated date of decision regarding the recommendation. The PMAB will then notify the employee of the anticipated date.

OSTI: If additional time is needed in order to make a decision regarding the recommendation of adoption or non-adoption, the ADAIS will be notified in writing; e.g., by e-mail, the reason for the needed additional time and the anticipated date of decision regarding the recommendation. The ADAIS will then notify the employee of the anticipated date.
- e. ORO: The Planning and Budget Division will be responsible for certifying that funds are available for monetary employee suggestion recognition.

OSTI: The ADAIS will be responsible for certifying that funds are available for monetary employee suggestion recognition.
- f. If the Assistant Manager, ORO, or the Assistant Director, OSTI, recommends that the suggestion not be adopted, he/she will provide written reasons to the Manager, ORO, or Manager, OSTI, for the recommendation of non-adoption of the suggestion. PMAB will notify the employee(s) of the disposition of the suggestion.
- g. ORO: The approved employee suggestion along with the Employee Suggestion Evaluation Form will be forwarded to the PMAB. The PMAB will: (1) review the nomination for regulatory compliance; (2) work with the employee(s)' supervisor to have the nomination entered into the CHRIS Workflow system; (3) prepare an SF-50, Notification of Personnel Action; and (4) prepare an award certificate. The SF-50 will be provided to the recommending Assistant Manager for presentation to the recipient.

OSTI: The approved employee suggestion along with the Employee Suggestion Evaluation Form will be forwarded to the PMAB. The PMAB will: (1) review the nomination for regulatory compliance; (2) work with the employee(s)' supervisor to have the nomination entered into the CHRIS Workflow system; and (3) prepare an SF-50, Notification of Personnel Action. The SF-50 will be provided to the recommending ADAIS for presentation.