

U.S. Department of Energy

Oak Ridge Operations

ORO O 330
Chapter II

DATE: 09-05-96

SUBJECT: INCENTIVE AWARDS

1. PURPOSE. This Chapter correlates to DOE O 332.1 (formerly DOE 3450.1B), INCENTIVE AWARDS, dated June 23, 1992, which has now been renumbered in accordance with the new DOE Order Numbering System, as published in DOE M 251.1-1, Change 1, dated December 12, 1995. Nothing within the new DOE Order has been changed at this point, but if a new DOE Order is published, it will be renumbered in this manner. Until that time, the new number is assigned to the previous DOE Order. This new Oak Ridge Operations (ORO) Chapter assigns responsibility and accountability and provides administrative guidance to ORO and the Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces ORIG 3450.1C, INCENTIVE AWARDS, dated April 11, 1994, and ORIG N 3450.31, TIME OFF AWARDS, dated January 13, 1994.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and OSTI employees. It is not applicable to contractors, although contractor employees and other private citizens and organizations may be recognized for contributions that benefit DOE (see DOE O 332.1, Chapter VII).
4. RESPONSIBILITIES.
 - a. Manager, ORO, and Director, OSTI, approve monetary awards, other than on-the-spot awards, not exceeding \$7,500 for individual awards and \$10,000 for group awards so long as the amount for any individual in the group does not exceed \$7,500.
 - b. Director, Personnel Division.
 - (1) Performs those tasks identified in DOE O 332.1, Chapter I, subparagraphs 1e(1), (10)-(12), and subparagraph 1n.
 - (2) Submits to the Office of Personnel, Headquarters (HR-32), an annual report on program activities in accordance with DOE O 332.1, Chapter I, subparagraph 3a(4).
 - (3) Authorizes the granting of career service emblems and retirement certificates to employees.
 - (4) Through the Personnel and Management Analysis Branch (PMAB), reviews Time Off Award nominations from recommending officials in ORO, prepares an SF-50, Notification of Personnel Action, and prepares an award certificate. Forwards award certificate to the recommending official for presentation to the recipient (see paragraph 7 of this Chapter).
 - (5) Through PMAB, reviews for regulatory compliance Time Off Award nominations received from OSTI, prepares the SF-50, and transmits the SF-50 to the OSTI recommending official for presentation to the recipient.

- c. Director, Planning and Budget Division.
 - (1) Establishes a budget for ORO on-the-spot monetary awards at the beginning of each fiscal year based on direction received from the Senior Management Board. Independently establishes a budget for all other incentive awards.
 - (2) Allocates funds for on-the-spot monetary awards to each ORO organization at the Division level and above, based on a per capita expenditure rate (each organization receiving an allocation will be responsible for certifying funds availability at the time an award is submitted). Allocates funds for all other incentive awards to the Personnel Division.
- d. Assistant Director for Resource Management, OSTI.
 - (1) Establishes and administers a budget for on-the-spot monetary awards at the beginning of each fiscal year and certifies funds availability for each award.
 - (2) Reviews and forwards Time Off Award Nominations to PMAB for appropriate action.
- e. ORO and OSTI Principal Staff.
 - (1) Perform those tasks identified in DOE O 332.1, Chapter I, subparagraphs 1e(2) and (6)-(9).
 - (2) Approve on-the-spot monetary recognition awards that are recommended by supervisors at the next lower echelon. Such recommendations shall conform to the requirements of DOE O 332.1, Chapter V, subparagraph 4d, and shall be submitted on ORIG F 3450.1B, Attachment 1 of this Chapter.
 - (3) Certify that funds are available for on-the-spot awards as part of the approval process (see subparagraph 4e of this Chapter for certification responsibility at OSTI).
- f. Each Manager and Supervisor, ORO and OSTI.
 - (1) Performs those tasks identified in DOE O 332.1, Chapter I, subparagraph 1i.
 - (2) To recommend employees for Time Off Awards, completes ORIG F 3450.31 (see Attachment 2 of this Chapter) and forwards to PMAB for appropriate action.
- g. 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.
- h. Incentive Awards Coordinator, Personnel and Management Analysis Branch, Personnel Division.
 - (1) Coordinates the Incentive Awards Program.

- (2) Orders and maintains adequate stocks of awards paraphernalia and other supplies.
- (3) Formulates and administers the budget for the ORO Incentive Awards Program, certifies availability of funds for ORO monetary awards except for on-the-spot awards, and ensures adequacy of documentation and adherence to award scales.

5. REQUIREMENTS AND PROCEDURES.

- a. Procedures for processing nominations for Incentive Awards are described in DOE O 332.1, Chapters II through VIII.
- b. Procedures for processing nominations for Time Off Awards are described in Attachment 2 of this Chapter, paragraph 5.

6. REFERENCES. OR 3550.1B, PAY ADMINISTRATION AND HOURS OF DUTY, dated June 3, 1988.

7. DEFINITIONS. **Time Off Award** - Award that recognizes the superior accomplishment or other personal effort (individual or group) that contributes to the quality, efficiency, or economy of Government operations. The award is applicable to any ORO or OSTI employee. 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.

8. CONTRACTOR REQUIREMENTS DOCUMENT. None.

9. ATTACHMENTS.

- a. Attachment 1 - NOMINATION FOR ON-THE-SPOT RECOGNITION AWARD.
- b. Attachment 2 - NOMINATION FOR TIME OFF AWARD.

NOMINATION FOR ON-THE-SPOT RECOGNITION AWARD

EMPLOYEE NAME: _____ SOCIAL SECURITY NUMBER: ____ - ____ - ____

ORGANIZATION: _____

[] AWARD JUSTIFICATION AND WORDING FOR CERTIFICATE ATTACHED

Recommended Amount of Award \$: _____ B&R Account #: _____

Funds Are Available: Yes _____ No _____ Cost Center: _____

DATE AND AMOUNT OF SPOT AWARDS RECEIVED IN PREVIOUS 52-WEEK PERIOD: _____

Recommending Official or Nominator's Name, Title, and Signature (a Branch Chief or above) Date

Employee's Supervisor Name, Title, and Signature (if not Recommending Official or Nominator) Date

Approving Official Name, Title, and Signature Date

Personnel Official Signature Date

EFFECTIVE DATE OF AWARD

SEE REVERSE FOR INSTRUCTIONS

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 a monetary, nonmonetary or honor award under 5 U.S.C., sections 4504 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 (November 22, 1943) 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 RECOGNITION AWARDS PROGRAM**

1. BASIS AND ELIGIBILITY. This award recognizes a significant deed or accomplishment performed with exceptional and unanticipated speed and quality under difficult or unusual circumstances. Any Oak Ridge Operations (ORO) or Office of Scientific and Technical Information (OSTI) employee is eligible.
2. LIMITATIONS. No more than four spot awards may be granted to the same individual within any consecutive 52-week period.
3. AWARD AMOUNT. Awards shall not be less than \$25. The maximum amount of a spot award is \$250 per individual or \$2,500 per group so long as the amount per individual does not exceed \$250.
4. RECOMMENDING AND APPROVING OFFICIALS.

ORO: Each spot award nomination must include: (1) a recommending official (branch chief or above), and (2) an approving/disapproving official at least one level of management higher than the recommending official.

OSTI: Each spot award nomination must include: (1) a recommending official (branch chief or above), and (2) the approval/disapproval of the employee's respective Assistant Director of the Director; and (3) the concurrence of the OSTI Financial Manager.

5. PROCEDURES AND RESPONSIBILITIES.

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

OSTI: The Office of Resource Management will establish a budget for spot awards at the beginning of each fiscal year. The OSTI Financial Manager will certify funds availability of each award.

b. The Oak Ridge Financial Service Center (ORFSC) will maintain funds in an imprest fund account sufficient to disburse cash for spot awards.

c. ORO: The recommending/nominating official may be either the employee's supervisor (branch chief or above) or another supervisor at the branch chief level or above within ORO. If the recommending/nominating official is not the employee's supervisor, the nomination must be routed through the employee's supervisor for concurrence.

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

OSTI: The approving/disapproving official will be the employee's Assistant Director or the Director of OSTI.

e. Within 30 days after the accomplishment on which the nomination is based, the recommending official or nominator shall submit this form to the ORO Personnel and Management Analysis Branch (PMAB). OSTI nominations are to go through the Office of Resource Management. 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 award certificate.

f. The PMAB will review the award nomination for regulatory compliance, prepare an SF-50, Notification of Personnel Action, and provide a Monetary Award for Special Act or Service certificate and the utility copy of the SF-50 to the organization which recommended the award for ORO and the Office of Resource Management for OSTI.

g. A designee of the initiating organization will take the utility copy of the SF-50 to an imprest fund clerk in the ORFSC, present their DOE badge, and receive the cash.

h. The cash award and the certificate should be presented to the employee in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

6. INCLUSION IN EARNINGS FOR TAX PURPOSES. A spot award is considered to be paid during the pay period in which the award is effective. Tax withholdings applicable to the award amount will be made and cumulative gross wages will be adjusted as part of the payroll calculation for that pay period. This assures applicable payroll taxes are withheld and paid to the appropriate taxing authorities in the same tax year as the award. The employee's DOE F 2200.3, Earnings, Leave, and Benefits Statements, for the referenced pay period will show these transactions.

NOMINATION FOR TIME OFF AWARD

EMPLOYEE NAME: _____ SOCIAL SECURITY NUMBER: ____ - ____ - ____

ORGANIZATION: _____

[] AWARD JUSTIFICATION AND WORDING FOR CERTIFICATE ATTACHED

RECOMMENDED AMOUNT OF AWARD HOURS: _____

DATE AND AMOUNT OF OTHER TIME OFF AWARDS RECEIVED IN CURRENT LEAVE YEAR:

Recommending Official Name, Title, and Signature (must be a supervisor) Date

Employee's Supervisor Name, Title, and Signature (if not Recommending Official) Date

Approving Official Name, Title, and Signature Date

Personnel Official Signature Date EFFECTIVE DATE OF AWARD

SEE REVERSE FOR INSTRUCTIONS

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 a monetary, nonmonetary or honor award under 5 U.S.C., sections 4504 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 (November 22, 1943) 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
TIME OFF AWARDS PROGRAM**

1. **BASIS.** This award recognizes the superior accomplishment or other personal effort (individual or group) that contributes to the quality, efficiency, or economy of Government operations. See DOE N 3450.31, TIME OFF AWARD, of 7-6-93, 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. **AWARD 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 award 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 (any first-level supervisor 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.

OSTI: All time off award nominations shall include: (1) a recommending official (group supervisor or above); (2) the concurrence of the employee's supervisor (if not the recommending official); and (3) the approval/disapproval of the employee's respective Assistant Director or Director.
 - b. The recommending official shall complete ORIG F 3450.31, Nomination for Time Off Award. ORO nominations shall be submitted to the Personnel and Management Analysis Branch (PMAB). OSTI nominations shall be submitted to the OSTI Office of Resource Management and forwarded to the PMAB. ORO and OSTI nominations shall include: (1) written justification stating the basis for the award, 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 Awards Scale for Single Contribution of DOE N 3450.31); and (2) wording for the award certificate.
 - c. For ORO nominations, 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 ORO recommending official for presentation to the recipient.
 - d. 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.
 - e. The award recipient shall complete an SF-71, Application for Leave, to schedule Time Off Award leave. The leave shall be approved by the recipient's supervisor.
 - f. Time Off Awards shall be granted and used in whole hour increments and scheduled and used within one year after the award is granted.
 - g. Time and Attendance (T&A) clerks shall record the leave under T&A Code 251.