

# ORO CONTROL FORM - FINAL DIRECTIVE

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

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 330, Chapter II, Change 3, 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  ISOTEK (Bldg. 3019, ORNL)

Other contractors (list by type)

*Many ORO contractors have approved Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (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 impacts?  No  Yes  
If yes, describe: This ORO Chapter is part of the ORO sunset review. Changes to this Chapter include, (1) revision to Paragraphs 1 and 3; (2) revision to Paragraphs 4d(4), 4g(1) and (2); delete Paragraphs 4d(5) and 4g(2); add new Paragraphs 4e(4) and 4f(3); (3) update Paragraph 6, References; (4) delete Paragraph 7, Definitions; (5) delete Attachment 1 and add new Attachments 1 and 2; and (6) major revision to Attachments 3 thru 8.

5. **CONTACT POINT:** Carol Aytes Federal Human Resources Branch, AD-442 576-9586  
Name Organization Telephone

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**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	05/19/2003	ORO Control Form	06/28/2005
ORO O 330, Ch. II Chg. 2	05/19/2003	ORO O 330, Ch. II, Chg. 3	06/28/2005

*ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/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 06/28/2005  
Signature: DMG Team Leader, AD-440 Date

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

Rev. 06/14/2004

# NNSA/YSO 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 3, INCENTIVE AWARDS, dated 06/28/2005**

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 Directive cancels and replaces ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS, dated 05/19/2003.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by 07/12/2005.

## 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 Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (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 impacts?  Yes  No

List summary of Directive changes and, if "Yes" above, describe the significant changes or impacts:

Does not apply to NNSA.

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 YSO Directive is \_\_\_\_\_.

IDENTIFY CONTACT POINT: James Martin 576-0868  
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten 07/18/2005 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 Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/roe/roe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/roe/roe_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:

Wayne H. Albaugh, AD-440 07/20/2005  
Name Date

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

(Revised 11/06/2003)

# U.S. Department of Energy

Oak Ridge Office

ORO O 330 Chapter II Change 3
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DATE: 06/28/2005

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**SUBJECT: INCENTIVE AWARDS**

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1. PURPOSE. This Chapter correlates to DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated July 12, 2001, by assigning responsibility and accountability and providing administrative guidance to Oak Ridge Office (ORO) and those offices for which the ORO Human Resources Division (HRD) is designated as the Servicing Personnel Office (SPO) as applicable. 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 2, INCENTIVE AWARDS, dated May 19, 2003.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and Office of Scientific and Technical Information (OSTI) employees, and, as applicable, employees of those organizations for which the ORO HRD is designated as SPO, except those in the Senior Executive Service. Incentive awards are discretionary actions except where mandated by Departmental Order. 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; Site Offices; 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. Senior Staff, ORO, and Site Offices.
    - (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, On-the-Spot Awards, Time-Off Awards, and Managerial/Supervisory Performance Recognition.
    - (3) Review suggestion award nominations and recommend adoption or non-adoption.

- c. Associate 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 and QSIs.
  - (4) 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) Conducts regulatory compliance assessments for employee recognition nominations received from OR serviced organizations and processes awards, as appropriate.
  - (5) Orders and maintains 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 Staff.
  - (2) Allocates funds for monetary awards to each ORO organization at the Senior Staff 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.
  - (4) For other ORO serviced organizations, allocates funds for monetary awards as prescribed by the management of the organization, as applicable.
  
- f. Each Manager and Supervisor.
  - (1) Nominates employees for recognition through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS, nominations are to be initiated using the hardcopy Form SF-52, "Request for Personnel Action."
  - (2) Initiates Managerial/Supervisory Performance Recognition (MSPR) for supervisors in their organizations who have earned a summary performance rating of Significantly Exceeds Expectations (SEE).

- (3) Verifies, with appropriate Senior Staff or designee, that funds are available for monetary recognition as part of the approval process before initiating nomination.
- 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.
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 Policy Document Modification, *Performance Management System for Managers and Supervisors*, Chapter I, dated September 11, 2002.
  - d. Standard Form SF-50, *Notification of Personnel Action*.
  - e. Standard Form SF-52, *Request for Personnel Action*.
  - f. Office of Personnel Management (OPM) Form 71, *Request for Leave or Approved Absence*.
  - g. *General Schedule Supervisory Guide*.
7. DEFINITIONS. None.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS.
  - a. Attachment 1 - CHRIS WORKFLOW AWARD NOMINATION SCREEN SHOT.
  - b. Attachment 2 - SF-52 REQUEST FOR PERSONNEL ACTION, AWARD NOMINATION
  - c. Attachment 3 - INSTRUCTIONS FOR ON-THE-SPOT RECOGNITION.
  - d. Attachment 4 - INSTRUCTIONS FOR TIME OFF RECOGNITION AND SCALE.
  - e. Attachment 5 - INSTRUCTIONS FOR SPECIAL ACT OR SERVICE RECOGNITION AND SCALES.
  - f. Attachment 6 - INSTRUCTIONS FOR QUALITY STEP INCREASE (QSI).
  - g. Attachment 7 - INSTRUCTIONS FOR MANAGERIAL/SUPERVISORY PERFORMANCE RECOGNITION.
  - h. Attachment 8 - INSTRUCTIONS FOR EMPLOYEE SUGGESTION RECOGNITION.

Manager Personnel Request | **Approval Routing**

Request Info

View All First 2 of 4

Cancel Request

[Create Request](#)

Initiated By: \_\_\_\_\_ Employee Initiated Date: 05/26/2005

\*Proposed Effdt: \* 05/29/2005 Trans# / Seq#: 1 1

Action Category: \* Award/Bonus Action NTE Date: \_\_\_\_\_

Action Descr: \* INDIVIDUAL CASH AWARD PAR Status: WFR

[HR Manager Guide](#)

SF-52 Number: \_\_\_\_\_

Current

OR SC-Oak Ridge Office  
25BB721000 Federal Human Resources Branch  
471850001 Oak Ridge, TN  
Human Resources Specialist  
GS - 0201 -  
WA-KX0310  
FullTime  
40.00

New

Name: \_\_\_\_\_  
Sub-Agency: \_\_\_\_\_  
DeptID: \_\_\_\_\_  
Location: \_\_\_\_\_  
Job Title: \_\_\_\_\_  
PP/Srs/Grd/Step: \_\_\_\_\_  
Acct Code: \_\_\_\_\_  
Work Schedule: \_\_\_\_\_  
Std Hrs/Wk: \_\_\_\_\_  
Award Amt: \* 1000  
Time-off Hours: \_\_\_\_\_

Resign/Retire Reason: \_\_\_\_\_

[Address Info](#)

Check all that applies, if further documents will be sent separately.

- OF8 Form/PD Cover
  - Military Orders
  - Position Description
  - Medical Cert.
  - Other
- [Attach File](#)

Comment/Justification:

NOMINEE: John D. Employee  
NOMINATOR: M. Jones, Chief, Work Hard Br.  
AWARD TYPE: Special Act or Service  
AWARD AMOUNT: \$1000  
PERIOD COVERED BY AWARD: 01/04-08/04  
PROGRAM AND LOCAL USE CODES: WM01  
JUSTIFICATION: Mr. Employee resolved the  
CERTIFICATE WORKING: In Recognition of



 Home
  Worklist
  Sign Out

Home > CHRIS Workflow > HR Workflow > Use > Create/Modify Staff Request [New Window](#)

Manager Personnel Request | Approval Routing

[View](#)

Eff Date: 05/29/2005 Effseq: 11

Action: INDIVIDUAL CASH AWARD WIP Status: WFR

SF-52 Number: Initiator:

HR Approver Guide **DOE Element searched in Approver lookups:** OR  SC-Oak Ridge Office

	Workflow Role	Approver	Skip	Status	Action Date	Recycle Reason
Step1:	1st Appv	<input type="text"/>		<input type="text"/>		
Step2:	2nd Appv	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>		
Step3:	Admin Off	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>		
Step4:	SA Appv	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>		
Step5:	Class Spcl	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>		
Step6:	HR Specd	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>		
Step7:	None/Skip		<input type="checkbox"/>	<input type="text"/>		
Step8:	None/Skip		<input type="checkbox"/>	<input type="text"/>		
Step9:	None/Skip		<input type="checkbox"/>	<input type="text"/>		
Step10:	HR Proc	<input type="text"/>		<input type="text"/>		

 Save
 Return to Search

Manager Personnel Request | Approval Routing

Standard Form 52  
Rev. 7/91  
U.S. Office of Personnel Management  
FPM Supp. 296-33, Subch. 3

**REQUEST FOR PERSONNEL ACTION**

<b>PART A - Requesting Office (Also complete Part B, Items 1, 7-22, 32, 33, 36, and 39.)</b>	
1. Actions Requested	2. Request Number
3. For Additional Information Call (Name and Telephone Number)	4. Proposed Effective Date
5. Action Requested By (Typed Name, Title, Signature, and Request Date)	6. Action Authorized by (Typed Name, Title, Signature, and Concurrence Date)
00/00/0000	

<b>PART B - For Preparation of SF 50 (Use only codes in FPM Supplement 292-1. Show all dates in month-day-year order.)</b>			
1. Name (Last, First, Middle)	2. Social Security Number	3. Date of Birth	4. Effective Date

<b>FIRST ACTION</b>		<b>SECOND ACTION</b>	
5-A. Code	5-B. Nature of Action	6-A. Code	6-B. Nature of Action
5-C. Code	5-D. Legal Authority	6-C. Code	6-D. Legal Authority
5-E. Code	5-F. Legal Authority	6-E. Code	6-F. Legal Authority

<b>7. FROM: Position Title and Number</b>												<b>15. TO: Position Title and Number</b>											
8. Pay Plan	9. Occ. Code	10. Grade or Level	11. Step or Rate	12. Total Salary	13. Pay Basis	16. Pay Plan	17. Occ. Code	18. Grade or Level	19. Step or Rate	20. Total Salary/Award	21. Pay Basis												
12A. Basic Pay	12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay					20A. Basic Pay	20B. Locality Adj.	20C. Adj. Basic Pay	20D. Other Pay												
14. Name and Location of Position's Organization												22. Name and Location of Position's Organization											

<b>EMPLOYEE DATA</b>											
23. Veterans Preference			24. Tenure			25. Agency Use		26. Veterans Pref for RIF			
1 - None 2 - 5-Point 3 - 10 Point/Disability 4 - 10 Point/Compensable 5 - 10 Point/Other 6 - 10 Point/Compensable/30%			0 - None 1 - Permanent 2 - Conditional 3 - Indefinite					YES NO			
27. FEGLI						28. Annuitant Indicator			29. Pay Rate Determinant		
30. Retirement Plan				31. Service Comp. Date (Leave)		32. Work Schedule			33. Part-Time Hours Per Biweekly Pay Period		

<b>POSITION DATA</b>											
34. Position Occupied			35. FLSA Category			36. Appropriation Code			37. Bargaining Unit Status		
1 - Competitive Service 2 - Excepted Service 3 - SES General 4 - SES Career			E - Exempt N - Nonexempt								
38. Duty Station Code						39. Duty Station (City - County - State or Overseas Location)					

40. Agency Data	41.	42.	43.	44.							
45. Educational Level	46. Year Degree Attained	47. Academic Discipline	48. Functional Class	49. Citizenship	50. Veterans Status	51. Supervisory Status					
				1 - USA	8 - Other						

<b>PART C - Reviews and Approvals (Not to be used by requesting office.)</b>					
1. Office/Function	Initials/Signature	Date	Office/Function	Initials/Signature	Date
A.			D.		
B.			E.		
C.			F.		
2. Approval: I certify that the information entered on this form is accurate and that the proposed action is in compliance with statutory and regulatory requirements.				Signature	Approval Date

**PART D - Remarks by Requesting Office**

(Note to Supervisors: Do you know of additional or conflicting reasons for the employee's resignation/retirement?  
If "YES", please state these facts on a separate sheet and attach to SF 52.)

YES  NO

**PART E - Employee Resignation/Retirement**

**Privacy Act Statement**

You are requested to furnish a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be used primarily to mail you copies of any documents you should have or any pay or compensation to which you are entitled.

This information is requested under authority of sections 301, 3301, and 8506 of title 5, U.S. Code. Sections 301 and 3301 authorize OPM

and agencies to issue regulations with regard to employment of individuals in the Federal service and their records, while section 8506 requires agencies to furnish the specific reason for termination of Federal service to the Secretary of Labor or a State agency in connection with administration of unemployment compensation programs.

The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your copies of those documents you should have; (2) pay or other compensation due you; and (3) any unemployment compensation benefits to which you may be entitled.

1. Reasons for Resignation/Retirement (NOTE: Your reasons are used in determining possible unemployment benefits. Please be specific and avoid generalizations. Your resignation/retirement is effective at the end of the day - midnight - unless you specify otherwise.)

2. Effective Date	3. Your Signature	4. Date Signed	5. Forwarding Address (Number, Street, City, State, ZIP Code)
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**PART F - Remarks for SF 50**

### **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 Federal employee.
3. **RECOGNITION AMOUNT.** Awards will not be less than \$50 with the maximum amount being \$500 per individual.
4. **PROCEDURES AND RESPONSIBILITIES.**

- a. Generally within 30 days after the accomplishment on which the nomination is based, the nominator will submit to the Federal Human Resources Branch (FHRB) an award nomination through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS Workflow, nominations are to be made by completing an Standard Form (SF)-52, "Request for Personnel Action." Each nomination, whether through Workflow or an SF-52, is to be in the following format and is to be cut and pasted into the "Comments/Justification" block in the Workflow Personnel Request screen or attached to the hard copy of the SF-52:

NOMINEE:

NOMINATOR:

AWARD TYPE: On-the-Spot

AWARD AMOUNT:

PERIOD COVERED BY THE AWARD:

PROGRAM AND LOCAL USE CODES:

JUSTIFICATION: The justification **MUST** state the basis of the award (i.e., the accomplishment, circumstances that warrant recognition, and the value or impact of the employee's contribution).

CERTIFICATE WORDING: (not applicable to OSTI nominations).

- b. In all cases the nominator will be the employee's supervisor (Branch Chief or above). If another supervisor at the Branch Chief level or above wishes to recommend an employee for an OTS, that supervisor will e-mail the complete award nomination information (described in Paragraph 4a above) to the employee's supervisor.

WORKFLOW: The nominator will be the "1<sup>st</sup> Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the nominator will complete Blocks 1, 3, 4, and 5 of Part A and Block 1 of Part B.

- c. The approving/disapproving official will be the employee's Assistant Manager/Senior Staff member or above unless the latter is the Manager of the Office or Site Office. For OSTI the approving/disapproving official will be the Associate Director for Administration and Information Services (ADAIS).

WORKFLOW: The approving/disapproving official will be the "2nd Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the approving/disapproving official will complete Block 6 of Part A.

- d. After the nomination has been approved by the "Approving/Disapproving Official" either through Workflow or on the hard copy SF-52, the nomination will be routed to the Office Manager or OSTI Financial Manager, as applicable, who tracks the funding for the account the award is being paid.

WORKFLOW: The Office Manager or OSTI Financial Manager will verify funding and correct Program and Local Use Codes by approving the action in the "Administrative Officer Approver" block and forwarding the Workflow award nomination to the FHRB "SA Approver".

SF-52: Office Manager will verify funding and correct Program and Local Use Codes by signing and dating Block A of Part C and forwarding the SF-52 to the FHRB.

- e. The FHRB will review the OTS nomination for regulatory compliance and process the action as appropriate. The employee copy of the appropriate paperwork will be provided to the Office Manager of the organization that is funding the award or for OSTI nominations to the Office of ADAIS.

- f. The employee copy of the appropriate paperwork should be presented to the employee in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

## 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 at <http://www.oro.doe.gov/pmab/Forms/Forms.htm> or below for examples of achievements for which the award is appropriate.
2. **ELIGIBILITY.** Any Federal employee.
3. **RECOGNITION AMOUNT.** Full-time employees may be awarded up to 40 hours in a single award and may be awarded a maximum limit of 80 hours per leave year. 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 in a single award and may be awarded a maximum 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 could be granted up to 32 hours for a time off award and may be awarded a maximum of 64 hours per leave year.
4. **LIMITATIONS.** None.
5. **PROCEDURES AND RESPONSIBILITIES.**

- a. The nominator will submit to the Federal Human Resources Branch (FHRB) an award nomination through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS Workflow, nominations are to be made by completing an Standard Form (SF)-52, "Request for Personnel Action." Each nomination, whether through Workflow or an SF-52, is to be in the following format and is to be cut and pasted into the "Comments/Justification" block in the Workflow Personnel Request screen or attached to the hard copy of the SF-52:

NOMINEE:

NOMINATOR:

AWARD TYPE: Time Off

AWARD AMOUNT:

PERIOD COVERED BY THE AWARD:

JUSTIFICATION: The justification **MUST** state the basis of the award (i.e., the accomplishment, 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).

CERTIFICATE WORDING: (not applicable to Office of Scientific and Technical Information (OSTI) nominations).

- b. In all cases the nominator will be the employee's supervisor (Branch Chief level or above). If another supervisor at the Branch Chief level or above wishes to recommend an employee for a Time Off Award, that supervisor will e-mail the complete award nomination information (described in Paragraph 5a above) to the employee's supervisor.

WORKFLOW: The nominator will be the "1<sup>st</sup> Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the nominator will complete Blocks 1, 3, 4, and 5 of Part A and Block 1 of Part B.

- c. The approving/disapproving official will be the Senior Staff member or above unless the latter is the Manager of the Office or Site Office. For OSTI nominations, the approving/disapproving official will be the ADAIS.

WORKFLOW: The approving/disapproving will be the "2nd Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the approving/disapproving official will complete Block 6 of Part A.

- d. The FHRB will review the award nomination for regulatory compliance and process the action as appropriate. The employee copy of the appropriate paperwork will be provided to the Office Manager of the organization nominating the award or for OSTI to the Office of ADAIS.

- e. The employee copy of the appropriate paperwork should be presented to the employee 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

## 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 Federal 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 at <http://www.oro.doe.gov/pmab/Forms/Forms.htm> or below.
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. The nominator will submit to the Federal Human Resources Branch (FHRB) an award nomination through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS Workflow, nominations are to be made by completing an Standard Form (SF)-52, "Request for Personnel Action." Each nomination whether through Workflow or an SF-52, is to be in the following format and is to be cut and pasted into the "Comments/Justification" block in the Workflow Personnel Request screen or attached to the hard copy of the SF-52:

NOMINEE:

NOMINATOR:

AWARD TYPE: Special Act or Service (identify whether for an intangible or tangible act or service).

AWARD AMOUNT:

PERIOD COVERED BY AWARD:

PROGRAM AND LOCAL USE CODES:

JUSTIFICATION:

INTANGIBLE: Must identify the (1) reason for the award, (2) value of the benefit, and (3) extent of the application.

TANGIBLE: Must identify the (1) reason for the award and (2) estimated first year benefits to the government.

CERTIFICATE WORDING: (not applicable to Office of Scientific and Technical Information (OSTI) nominations).

- b. In all cases the nominator will be the employee's supervisor (Branch Chief level or above). If another supervisor at the Branch Chief level or above wishes to recommend an employee for a SAS recognition, that supervisor will e-mail the complete award nomination information (described in Paragraph 5a above) to the employee's supervisor.

WORKFLOW: The nominator will be the "1<sup>st</sup> Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the nominator will complete Blocks 1, 3, 4, and 5 of Part A and Block 1 of Part B.

- c. The approving/disapproving official will be the employee's Senior Staff member or above unless the latter is the Manager of the Office or Site Office. For OSTI nominations, the approving/disapproving official will be the Assistant Director for Administration and Information Services (ADAIS).

WORKFLOW: The approving/disapproving official will be the "2nd Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the approving/disapproving official will complete Block 6 of Part A.

- d. After the nomination has been approved by the “Approving/Disapproving Official” either through Workflow or on the hard copy SF-52, the nomination will be routed to the Office Manager or for OSTI the OSTI Financial Manager who tracks the funding for the account from which the award is being paid from.

WORKFLOW: The Office Manager or OSTI Financial Manager, as appropriate, will verify funding and correct Program and Local Use Codes by approving the action in the “Administrative Officer Approver” block and forwarding the Workflow award nomination to the FHRB “SA Approver”.

SF-52: The Office Manager will verify funding and correct Program and Local Use Codes by signing and dating Block A of Part C and forwarding the SF-52 to the FHRB.

- e. The FHRB will review the SAS nomination for regulatory compliance and process the action as appropriate. The employee copy of the appropriate paperwork will be provided to the Office Manager of the organization that is funding the award or to the Office of ADAIS, OSTI.
- f. The employee copy of the appropriate paperwork should be presented to the employee 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**

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	Value of Benefit		Extent of Application	
	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.
<b>MODERATE VALUE</b> – 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)
<b>SUBSTANTIAL VALUE</b> – 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)
<b>HIGH VALUE</b> – 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)
<b>EXCEPTIONAL VALUE</b> – 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(2)(3)  (compare with \$432,000 - \$1,632,000 tangible benefit)

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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.

### QUALITY STEP INCREASE (QSI)

1. **BASIS**. Recognition granted for sustained performance at the highest summary level as determined under the performance criteria of the position. The QSI must be related to the employee's most recent performance rating which must have been issued in the last 52 week period and be at the highest level attainable in the performance appraisal system. Regulations pertaining to QSI criteria can be found in 5 CFR 531, Subpart E.
2. **ELIGIBILITY**. Any Federal employee in the General Schedule (GS) system or 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. All QSI nominations are to be supplemented with a copy of the employee's most recent performance rating and corresponding performance appraisal plan. The rating and plan are to be submitted by hard copy to the Federal Human Resources Branch (FHRB).

The nominator will submit to the FHRB the QSI nomination through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS Workflow, nominations are to be made by completing an Standard Form (SF)-52, "Request for Personnel Action." Each nomination whether through Workflow or an SF-52, is to be in the following format and is to be cut and pasted into the "Comments/Justification" block in the Workflow Personnel Request screen or attached to the hard copy of the SF-52:

NOMINEE:

NOMINATOR: (Employee's immediate supervisor at the Branch Chief level or above).

AWARD TYPE: Quality Step Increase.

DATE OF EMPLOYEE'S LAST WITHIN GRADE INCREASE:

DATE OF EMPLOYEE'S LAST QSI:

PERIOD COVERED BY QSI: (must be for at least 52 consecutive weeks)

JUSTIFICATION: (for employees on two level [pass/fail] performance appraisal system) must document the following: (1) that the employee's performance for each performance element is of sustained high quality significantly above that expected for at least the past 52 weeks; and (2) that the supervisor is confident that this level of performance will continue.

- b. In all cases the nominator will be the employee's immediate supervisor (Branch Chief or above).

WORKFLOW: The nominator will be the "1<sup>st</sup> Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the nominator will complete Blocks 1, 3, 4, and 5 of Part A and Block 1 of Part B.

- c. The approving/disapproving official will be the employee's Senior Staff member or above in the employee's line of supervision unless the latter is the Manager of the Office or Site Office. For Office of Scientific and Technical Information (OSTI) nominations, the approving/disapproving official will be the Associate Director for Administration and Information Services (ADAIS).

WORKFLOW: The approving/disapproving official will be the "2nd Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the approving/disapproving official will complete Block 6 of Part A.

- d. The FHRB will review the QSI nomination for regulatory compliance and process the action as appropriate. The employee copy of the appropriate paperwork will be provided to the Office Manager of the organization nominating the award or for OSTI to the Office of ADAIS.
- e. The employee copy of the appropriate paperwork should be presented to the employee in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

## MANAGERIAL/SUPERVISORY PERFORMANCE RECOGNITION (MSPR)

1. **BASIS.** Recognition of performance at the Significantly Exceeds Expectations (SEE).
2. **ELIGIBILITY.** Any manager or supervisor whose position meets the definition of a manager or supervisor as described in the General Schedule Supervisory Guide including those in the excepted service at the Pay Band V and below.
3. **RECOGNITION AMOUNT.** An amount equivalent to a percentage of base pay as required by the Departmental Performance Management System for Managers and Supervisors Guidance.
4. **LIMITATIONS.** Mandatory award for all managers and supervisors, except those in the Senior Executive Service, receiving as SEE performance rating.
5. **PROCEDURES AND RESPONSIBILITIES.**

- a. All MSPR nominations are to be supplemented with a copy of the employee's performance rating and corresponding performance appraisal plan that is serving as the basis for the award. The rating and plan are to be submitted by hard copy to the Federal Human Resources Branch (FHRB).

As soon as possible after the performance appraisal rating cycle has ended, the nominator will submit to the FHRB an award nomination through the Workflow feature of the Corporate Human Resources Information System (CHRIS). For those organizations that do not yet have access to CHRIS Workflow, nominations are to be made by completing an Standard Form (SF)-52, "Request for Personnel Action." Each nomination whether through Workflow or an SF-52, is to be in the following format and is to be cut and pasted into the "Comments/Justification" block in the Workflow Personnel Request screen or attached to the hard copy of the SF-52:

NOMINEE:

NOMINATOR: (Employee's immediate supervisor at the Division Director level or above)

AWARD TYPE: Performance Recognition.

AWARD AMOUNT: ([1] cash stated by percentage or [2] combination of QSI and cash stated by percentage).

PERIOD COVERED BY AWARD: (must be for at least 52 consecutive weeks).

PROGRAM AND LOCAL USE CODES:

- b. In all cases the nominator will be the employee's supervisor (Division Director level or above).

WORKFLOW: The nominator will be the "1<sup>st</sup> Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the nominator will complete Blocks 1, 3, 4, and 5 of Part A and Block 1 of Part B.

- c. The approving/disapproving official will be the employee's Senior Staff member or above in the employee's line of supervision unless the latter is the Manager of the Office or Site Office. For Office of Scientific and Technical Information (OSTI) nominations the approving/disapproving official will be the Associate Director for Administration and Information Services (ADAIS).

WORKFLOW: The approving/disapproving official will be the "2nd Approver" in the Workflow "Approval Routing" screen.

SF-52: For organizations without access to CHRIS Workflow, the approving/disapproving official will complete Block 6 of Part A.

- d. After the nomination has been approved by the "Approving/Disapproving Official" either through Workflow or on the hard copy SF-52, the nomination will be routed to the Office Manager or the OSTI Financial Manager who tracks the funding for the account from which the award is being paid.

**WORKFLOW:** The Office Manager or OSTI Financial Manager will verify funding and correct Program and Local Use Codes by approving the action in the “Administrative Officer Approver” block and forwarding the Workflow award nomination to the FHRB “SA Approver”.

**SF-52:** Office Manager will verify funding and correct Program and Local Use Codes by signing and dating Block A of Part C and forwarding the SF-52 to the FHRB.

- e. The FHRB will review the PR nomination for regulatory compliance and process the action as appropriate. The employee copy of the appropriate paperwork will be provided to the Office Manager of the organization that is funding the award or to the Office of ADAIS, OSTI.
- f. The employee copy of the appropriate paperwork should be presented to the employee in the presence of an appropriate audience (i.e., coworkers in the immediate organization).

## 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 Federal 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. The Time Off recognition scale may be accessed at: <http://www.oro.doe.gov/pmab/Forms/Awards/Time%20Off.pdf>. If the employee is to receive cash, then the appropriate recognition scale for either Tangible or Intangible benefits is to be used. These scales may be accessed at: <http://www.oro.doe.gov/pmab/Forms/Awards/SAS.pdf>.
4. **RECOMMENDING AND APPROVING OFFICIALS.**

The Senior Staff or Associate Director, as applicable, 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) recommending the award amount; and (4) verifying with the Planning and Budget Division that funds are available if recognition is monetary.

The Manager or Director, Office of Scientific and Technical Information (OSTI), of the appropriate Office or Site Office will approve or disapprove adoption of the employee suggestion.

5. **PROCEDURES AND RESPONSIBILITIES.**
  - a. Employees will submit their suggestions in the format described in Paragraph 5b below to the Federal Human Resources Branch (FHRB). The FHRB will: (1) record receipt of the suggestion; (2) determine if the employee has already received any form of recognition for the suggestion; and (3) forward the employee's suggestion via memorandum to the Senior Staff of the organization responsible for implementation, if adopted, for evaluation.

The FHRB will also notify the employee when the suggestion has been forwarded to the appropriate Senior Staff.

OSTI: Employees will submit their suggestions in the format described in Paragraph 5b below to the Associate Director for Administration and Information Services (ADAIS). The ADAIS will: (1) check with the FHRB to determine if the employee has already received any form of recognition for the suggestion; and (2) forward the employee's suggestion via memorandum 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 Senior Staff or Assistant Director, will review the suggestion and recommend either adoption or non-adoption to the Manager, or Director, as applicable.
- d. If additional time is needed in order to make a decision regarding the recommendation of adoption or non-adoption, the FHRB 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 FHRB 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. The Planning and Budget Division will be responsible for certifying that funds are available for monetary employee suggestion recognition. For OSTI nominations the ADAIS will be responsible for certifying that funds are available for monetary employee suggestion recognition.
- f. If the Senior Staff recommends that the suggestion not be adopted, he/she will provide written reasons to the Manager and FHRB, for the non-adoption recommendation. FHRB will notify the employee(s) of the disposition of the suggestion.

OSTI: If the Associate Director recommends that the suggestion not be adopted, he/she will provide written reasons to the Manager, OSTI, and the ADAIS for the non-adoption recommendation. The ADAIS will notify the employee(s) of the disposition of the suggestion.

- g. The approved employee suggestion along with an approval memorandum will be forwarded to the FHRB. The FHRB will: (1) review the nomination for regulatory compliance; (2) coordinate entry of the nomination into the Workflow feature of CHRIS; and (3) process the action as appropriate. The appropriate paperwork will be provided to the recommending Senior Staff for presentation to the recipient.