



Environmental Management Consolidated Business Center (EMCBC)

Subject: EMCBC Incentive Awards and Recognition Program

IMPLEMENTING PROCEDURE APPROVED: (Signature on File)
EMCBC Director
ISSUED BY: Office of Human Resources

1.0 PURPOSE

This Implementing Procedure (IP) establishes responsibilities and provides a uniform method for eligibility determination, nomination, justification, review, approval, authorization and presentation of employee awards within the EMCBC and its service sites.

2.0 SCOPE

The scope of this procedure is to provide a systematic approach to determining (1) the appropriate type of award to be used for any specific achievement; (2) the proper format to use for requesting each type of award; (3) the nature, extent and qualitative content of written documentation to accompany and support the award; (4) the criteria for approving/disapproving the award; (5) the criteria for authorizing the award; (6) as appropriate, the award funds control and disbursement; and finally (7) the methods of presentation of the award.

3.0 APPLICABILITY

This procedure applies to all full- and part-time Federal employees assigned to the EMCBC located in Cincinnati, Ohio, including EMCBC employees who are duty stationed at various other sites. Service Level Agreement (SLA) site staff has the option of choosing to adopt this procedure or develop their own. This IP does not apply to contractors or Senior Executive Service (SES) positions.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 Title 5, USC 45, "Incentive Awards"

4.1.2 Title 5, CFR Part 451, "Awards"

4.2 References

4.2.1 Title 5, USC 522, "Public Information, Agency Rules, Opinions, Records and Proceedings"

4.2.2 Title 5, USC 552a, "Records Maintained on Individuals"

- 4.2.3 DOE O 322.1C, “Pay and Leave Administration and Hours of Duty”
- 4.2.4 DOE O 331.1C Admin Chg 1, “Employee Performance Management and Recognition Program”
- 4.2.5 DOE Supervisory/Non-supervisory Employee Performance Management and Recognition Program Desk Reference, dated October 1, 2010
- 4.2.6 EMCBC PS 243-01 Rev. 2, “Records Management Policy”

5.0 DEFINITIONS

- 5.1 Approval: Action by an Approving Official to certify an award as compliant with regulatory and policy documents at the EMCBC so the award is ready for authorization.
- 5.2 Approving Official: The supervisory or managerial incumbent with delegated authority to approve an award. The Approving Official cannot approve awards where that individual is also the initiator.
- 5.3 Assistant Directors (ADs): The managers who report directly to the Director.
- 5.4 Authorizing Official: Office of Human Resources (OHR) Official who verifies the award is properly requested, documented and approved in accordance with the EMCBC Incentive Awards Workflow.
- 5.5 Career Service Award: An award presented to an employee for his/her combined years of Federal service. Awarded at 5 year increments beginning on the anniversary of the employee’s fifth year of Federal service.
- 5.6 Group Award: An award granted to a team of DOE EMCBC employees, supervisors, and/or managers.
- 5.7 Honorary Award: An award presented to an individual, group, or team (DOE or EMCBC-wide) for conduct, action, or behavior that exemplifies the values, ethics, and character that EMCBC fosters in its employees. Honorary Awards are non-monetary awards that must be something the recipient could reasonably be expected to value but not something that conveys a sense of monetary value, the item must have a lasting trophy value, the item must clearly symbolize the employer-employee relationship in some fashion and the item must take an appropriate form to be used in the public sector and to be purchased with public funds. Examples of Honorary Awards include, but are not limited to: letters of achievement or commendation, certificates, plaques, citations, US Savings Bonds, or similar non-monetary items.
- 5.8 Incentive Award Review Panel (IARP): A panel comprised of the Deputy Director and Assistant Directors. The panel is tasked with evaluating incentive award

- nominations to ensure consistency and recommend approval or disapproval to the Director.
- 5.9 Informal Award: An award that may be given to recognize contributions of lesser scope that might otherwise go unrecognized. Informal Awards must be items of nominal value and the item must take an appropriate form to be used in the public sector and to be purchased with public funds.
- 5.10 Initiator: An EMCBC Federal employee who initiates an awards form.
- 5.11 Monetary Award: An award to which appropriated funds are attached. These awards have specific regulatory requirements for justification and are one of the following types:
- 5.11.1 Performance Award: An award given to an employee for performance rated over an entire rating period (see DOE O 331.1C, Section 4.D.1 for additional information);
 - 5.11.2 Quality Increase (QI): An award given to an employee which advances the employee to the next higher salary step within his/her current grade before the time period has elapsed for consideration for a standard within-grade increase (WGI); based on sustained superior performance that supports EMCBC mission, goals, and objectives (see DOE O 331.1C, Section 4.D.5.A for additional information);
 - 5.11.3 Special Act /Service Award (SAS): A SAS award is monetary or non-monetary recognition for an employee (as individuals or in groups) for accomplishment of acts or services that are of special benefit to the Department and are typically outside of the employee's job responsibilities and are non-recurring in nature; and
 - 5.11.4 On-the-Spot Award (OTS): An OTS award grants employees (as individuals or in groups) immediate monetary recognition for a significant deed or accomplishment performed with exceptional and unanticipated speed and quality under difficult or unusual circumstances
- 5.12 Incentive Awards and Recognition Program Manager: A Human Resources (HR) Specialist on the Employee Relations and Benefits team. Any of the HR Specialists or the Team Lead on said team may perform duties as the Program Manager.
- 5.13 Time-Off Award: An award in the form of time off of work, without loss of pay or charges to leave, to recognize a highly effective, efficient work result achieved by an individual or group in support of EM and/or EMCBC mission, goals, and objectives. Time-Off Awards cannot be converted to cash under any circumstance.

6.0 RESPONSIBILITIES

- 6.1 EMCBC Director: Once fiscal year funding is established for the EMCBC, establish the Incentive Awards and Recognition Program budget and reiterate to Senior

Management the importance of the EMCBC Incentive Awards and Recognition Program.

- 6.1.1 Approve nominations for awards. The EMCBC Director may delegate approval authority to any EMCBC Assistant Director.
- 6.1.2 Authorize all Quality Increase Awards for EMCBC employees.
- 6.1.3 In collaboration with, perform the following:
 - encourage supervisors to use monetary and non-monetary awards to recognize and incentivize employees for superior contributions that exceed the specific expectations defined in employee performance plans;
 - foster the use of honorary awards to incentivize employees to demonstrate core EMCBC values, professional character, and mission commitment;
 - review awards statistics annually as provided by the EMCBC Incentive Awards and Recognition Program Manager to ensure that awards are granted on a real-time basis, and are based on achievement of performance-based results that directly support the EMCBC mission, goals, and objectives; and
 - ensure consistency and equity across the organization in granting awards to employees
- 6.2 All EMCBC Assistant Directors: Promote use of employee awards as a motivational tool by performing the following activities:
 - 6.2.1 assist initiators in choosing the appropriate type of award for the specific achievement;
 - 6.2.2 review suggested award and accompanying supporting documentation against the appropriate Awards Scale;
 - 6.2.3 approve/disapprove/return award packages as appropriate; and
 - 6.2.4 forward the approved award package to OHR for review
- 6.3 EMCBC OHR Assistant Director: The OHR AD will develop, maintain, and administer the EMCBC incentive awards process in accordance with applicable regulations and directives.
- 6.4 EMCBC OFM Assistant Director: The OFM AD will, on a quarterly or more frequent as-needed basis, track, maintain, and report to the Director and ADs regarding funding levels and expenditure rates for EMCBC-wide awards budgets. OFM will also certify funds are available for release.
- 6.5 EMCBC Incentive Awards and Recognition Program Manager: The EMCBC Incentive Awards and Recognition Program Manager will develop, maintain, and administer the EMCBC incentive awards process in accordance with applicable regulations and directives. In addition, he/she will:

- 6.5.1 review award nominations and supporting documentation to ensure that justifications substantiate the type and amount of award requested;
 - 6.5.2 authorize approved awards for expenditure of government funds based on verification of compliance with federal regulations and DOE directives;
 - 6.5.3 track the processing of all incentive awards to ensure they are processed in a timely manner;
 - 6.5.4 develop annual statistical analysis of awards for the EMCBC Director;
 - 6.5.5 coordinate employee recognition celebrations quarterly, or more often as deemed appropriate by the EMCBC Director;
 - 6.5.6 provide staff advice and support to supervisors to determine appropriate award types, use of the correct forms, and substantiate award rationale; and
 - 6.5.7 coordinate meetings of the Incentive Award Review Panel for disposition of awards
- 6.6 EMCBC Incentive Awards Review Panel: The IARP will carry out responsibilities as identified in Attachment J, EMCBC Incentive Award Review Panel Charter.

7.0 GENERAL INFORMATION

- 7.1 The types of awards available to EMCBC employees and the types of actions that qualify for each type of award are as follows (Note: EMCBC federal employees are eligible to be nominated for other DOE and Government-wide awards in addition to the awards identified in this IP):
- 7.1.1 Honorary Award: An award consisting of a certificate, plaque, savings bond, or other non-monetary token of honor and appreciation for conduct, action, or behavior that exemplifies the values, ethics, and character excellence that the EMCBC strives to foster in every area of its population. The honorary award may be awarded to an individual or a group or team (EMCBC-or DOE-wide).

The Career Service Award is one type of honorary award that is presented to EMCBC Federal employees in recognition of their years of Federal service. Beginning on an employee's 5-year anniversary of Federal service, and awarded at 5 year intervals thereafter, EMCBC Federal employees will receive a Career Service Award certificate and lapel pin to denote each key milestone (Note: Employees do not receive a lapel pin at the 5 year milestone). Career Service Awards are tracked in the Corporate Human Resources Information System (CHRIS) and managed by the Incentive Awards and Recognition Program Manager. A justification is not needed for the Career Service Award.

Career Service Awards will be presented to employees by the EMCBC Director or his/her designee, during the EMCBC All-Hands meeting which occurs during the receiving employee's anniversary month.

The required form for requesting an Honorary Award is provided in Attachment A, EMCBC Nomination for an Honorary Award.

NOTE: The justification must specifically identify the action, conduct, or behavior that is to be rewarded and demonstrate how that action contributes to the highest example of character that the EMCBC fosters for all employees.

A complete listing of Secretarial and Departmental awards can be found at http://humancapital.doe.gov/resources_awards.htm.

7.1.2 **Informal Recognition Awards:** Informal recognition awards are a type of award that may be given to reward performance that otherwise might not merit an award such as cash, time-off, or an honorary award. An informal recognition award should be used to provide more frequent and timely informal recognition to employees. Informal recognition awards may include, but are not limited to, the following:

- Gift Certificates;
- Agency branded merchandise;
- Ribbons or Medals (of nominal value);
- “Thank you” note or gift card (See Thank You Program PD-331-03, Rev. 0); or
- Letter of Achievement or Commendation from the EMCBC Director or Assistant Director

Informal recognition awards will be presented at a time and location deemed appropriate by the receiving employee’s supervisor.

NOTE: The Internal Revenue Service (IRS) considers merchandise and gift cards to be a taxable fringe benefit that must be taxed on their fair market value.

7.1.3 **On-the-Spot Award:** A cash award valued up to \$500 that may be initiated by any EMCBC federal employee for any other EMCBC federal employee (except contractors and those supervisory relationships identified in section 7.7 of this IP) to grant monetary recognition for a significant deed or accomplishment performed with exceptional and unanticipated speed and quality under difficult or unusual circumstances. Generally, nominations for On-the-Spot awards should be initiated within 7 days of the completed event or action for which the award is being submitted. Nominations must be initiated no later than 90 days from the date of the event or accomplishment.

On-the-Spot awards will be presented at a time and location deemed appropriate by the receiving employee’s supervisor.

The required form for requesting an On-the-Spot Award is provided in Attachment B, EMCBC Nomination for On-the-Spot Award.

- 7.1.4 Performance Award: An award directly attached to the annual performance rating (see DOE Order 331.1C for more information).
- 7.1.5 Quality Increase (QI): An increase in base pay at a faster-than-normal within-grade increase (WGI) used to reward employees at any GS grade level who display high quality performance (see DOE Order 331.1C for more information).
- 7.1.6 Special Act /Service Award (SAS): A monetary or non-monetary award that recognizes/rewards a superior mission-specific action that furthers the EMCBC mission, goals, or objectives in a significant way typically outside of the employee's job responsibilities and are non-reoccurring in nature. Supporting documentation must (1) identify and describe the scope of the act; (2) demonstrate its significance to the EMCBC mission, goals, and/or objectives; (3) justify the award amount by following the scale in Attachment I, Monetary Award Scale; and (4) show that the action is outside of the employee's job responsibilities and non-reoccurring in nature. Generally, Special Act /Service Awards should be initiated within 30 days of the completion date of the action for which the award is being submitted.

Recipients of Special Act/Service Awards and their accomplishments will be announced in an issue of the EMCBC Newsletter following their receipt of the award.

The required form for requesting a Special Act/Service Award is provided in Attachment C, EMCBC Nomination for Special Act or Service Award.

- 7.1.7 Time-Off Award (TOA): A TOA may be granted to any employee or group of employees without "loss of pay" or "charge to leave" to encourage and reward superior accomplishment or other personal efforts that contribute to the quality, efficiency, or economy of Government operations. Generally, nominations for Time-Off awards should be initiated within 7 days of the completed event or action for which the award is being submitted.

Scheduling of time off as a result of a TOA is subject to supervisory approval.

Time off granted as an incentive award must be scheduled and taken within 1 year after the date the award is effective (i.e., the date of the SF-50 effecting the award, normally the first day of the first pay period following final approval of the award). If the time is not taken off within 1 year, it will be forfeited.

Heads of Departmental elements may approve extensions of up to 90 days on a case-by-case basis for unavoidable reasons that have prevented or will prevent using the time. Time off awards may not be converted to cash or transferred to another agency. To determine the proper value of a Time-Off

Award, compare the value of the employee's contribution with Attachment H, Appendix P: Time-Off Awards Scale.

The required form for requesting a Time-Off Award is provided in Attachment D, EMCBC Nomination for Time-Off Award.

- 7.2 In order to be eligible to receive an incentive award (except the Career Service Award for years of Federal service), an employee must have a current rating of "meets expectation" and not be on a Performance Assistance Plan (PAP) or Performance Improvement Plan (PIP).
- 7.3 Appropriate written documentation is required with all award nominations. Such documentation consists of (1) a description of the special action or contribution on which the award is based, and (2) a detailed explanation of how this performance meets the established criteria for the type and amount of award requested as outlined on the appropriate award scale. All award justification will be submitted in the Situation Task Action Result, STAR technique, a sample of which is provided in Attachment G, Sample Award Justification using the STAR Technique.
- 7.4 Awards will not be processed unless or until all required documentation is properly completed and adequate to justify the award for which nominated.
- 7.5 Any of the awards described in this procedure, except for performance-based awards (QI and Performance Award) and Career Service Awards for years of Federal service, may be earned by an individual or a group. If the award is for a group, the documentation must explain how each member of the group contributed to the result that precipitated the award. If differing amounts are given to different group members, a justification must be provided to show how each member earned each different amount. The Monetary Award Scale should be used to justify each contribution (see Attachment I).
- 7.6 The Office of Personnel Management must approve any cash award that grants an individual over \$10,000. Awards over \$25,000 require Presidential approval (see Attachment E, Approval Levels for Monetary Awards for information on award approval limitations).
- 7.7 5 U.S. Code § 7351 prohibits gifts to superiors as follows:
 - A) An employee may not—
 - solicit a contribution from another employee for a gift to an official superior;
 - make a donation as a gift or give a gift to an official superior; or
 - accept a gift from an employee receiving less pay than him/her
 - B) An employee who violates this section shall be subject to appropriate disciplinary action by the employing agency or entity.

Consequently, it is not appropriate for an employee to give, or for a Manager, Supervisor, or Team Leader to accept, monetary (except for Performance Based Awards) when an employer-employee relationship exists (such as when the Manager, Supervisor, or Team Leader receiving the award is in the employee's supervisory chain of command). However, employees may nominate their, Supervisor, or Team Leader for honorary awards.

8.0 PROCEDURES

- 8.1 General procedures are followed for all awards, regardless of type. Specific nuances and procedural changes for individual types of award are dealt with in Section 8.3. Forms and sample justifications are provided as attachments to this IP.
- 8.2 An award may be initiated by any EMCBC federal employee (other than the intended award recipient) or, in rare cases, federal employees of other sites or DOE HQ. The initiator should seek advice from the supervisor of the employee to be rewarded (and his/her own supervisor, if those are different individuals).
 - 8.2.1 The award should be initiated shortly after completion of the event/action being rewarded (generally within 7 days for On-the-Spot Awards, Time-Off, and informal recognition awards, and 30 days for Special Act/Service Awards).
 - 8.2.2 After discussion with the recipient's supervisor, the initiator will use the appropriate form for the type of award requested and reference the proper Award Scale (Attachments H and I) to ensure that the action, behavior, or achievement to be rewarded meets the criteria for the type of award and, if a monetary award, dollar amount that is contemplated.
 - 8.2.2.1 If the intended type and amount of award does not meet the minimum criteria for that award type/amount, (1) determine whether there are other achievements that meet the criteria or (2) select another award type/amount.
 - 8.2.2.2 If the intended type and amount of award does meet the criteria for that award type/amount, prepare the award using the appropriate attached forms/samples.
 - 8.2.3 The initiator will then compose a justification using the **Situation, Task, Action, Result** (STAR) technique to adequately cover each required element identified in the procedure. If all elements are not adequately covered, the award will not be approved or authorized (see Attachment G for a sample justification).
 - 8.2.4 The initiator will then submit the completed form and documentation to the nominated employee's supervisor for review and concurrence/non-concurrence.

- 8.2.5 Upon receipt of the award nomination, the nominated employee's supervisor will review the nomination packet and compare the cited action or activity with the nominated employee's position description and performance plan to ensure that the nominated employee does not receive dual compensation for the cited action or activity. (Note: The current position description and applicable performance plan (s) must be used when reviewing the award criteria).

If the supervisor does not concur with the award nomination, he/she will provide a written response to the initiating employee explaining the reason for non-concurrence and return the award packet to the initiating employee.

If the supervisor does concur with the award nomination, he/she will sign and date blocks 8a and 8b on the award nomination form and submit the award packet to the EMCBC Incentive Awards and Recognition Program Manager for review and process.

- 8.2.6 Upon receipt of the award nomination, the EMCBC Incentive Awards and Recognition Program Manager will log the award nomination into the Incentive Awards Tracking database and conduct a review of the award nomination to verify that the award nomination is in compliance with this IP. If the nomination is found not to be in compliance, the Incentive Awards and Recognition Program Manager will return the nomination to the initiator with a statement regarding the areas in which the award nomination was deficient and recommendations for correcting.

If the award nomination is found to be in compliance, the Incentive Awards and Recognition Program Manager will authorize the nomination form, complete the Incentive Awards Tracking form, and prepare the award package for routing to the OFM for funding verification and initiate the EMCBC Incentive Award Review Panel form. (Attachment F).

- 8.2.7 The Incentive Awards and Recognition Program Manager will then route the award nomination to the OFM for verification of funds (if necessary) and signature. If funds are not available, and the OFM has exhausted alternative methods of payment, the Incentive Awards and Recognition Program Manager will return the award nomination to the initiator with an explanation and recommendations for alternative forms of recognition. If funds are available for the award, the OFM representative will sign and date boxes 10a and 10b, and return the award nomination to the Incentive Awards and Recognition Program Manager who will then submit the award nomination to the IARP for appropriate action (See Attachment J).

- 8.2.8 If approved by the IARP, the Incentive Awards Program Manager will then forward the nomination to the EMCBC Director for action. The EMCBC Director will review the award nomination and determine if the recommended

award is appropriate and annotate the “approved” award amount in box 5 of the award nomination form and sign and date boxes 11a and 11b.

If the EMCBC Director determines the recommended amount of the award is not appropriate, he/she will adjust the award amount, annotate the “approve” amount in box 5, prepare a brief statement justifying his/her decision to reduce or increase the award amount, and return the award nomination and his/her justification to the Incentive Awards and Recognition Program Manager for processing.

In the event the EMCBC Director decides to disapprove the award, he/she will provide a brief statement to the Incentive Awards and Recognition Program Manager regarding the reason(s) for disapproval and return the packet to the Incentive Awards and Recognition Program Manager. Upon receipt of a disapproved packet, the Incentive Awards and Recognition Program Manager will notify the initiator and nominated employee’s supervisor of the decision.

- 8.2.9 Once the final award package is received, the Incentive Awards and Recognition Program Manager will forward the award nomination to the assigned Human Resources Assistant to process the action into the CHRIS system.

The Human Resources Assistant will enter the action into the CHRIS system and will do the following:

- scan the awards package into eOPF;
- scan the awards package along with the SF-50, Notification of Personnel Action, into the electronic awards file; and
- Print the certificate (if applicable) and forward a copy of the award to the nominated employee and his/her supervisor

Upon receipt of the completed Incentive Award Tracking form, the Incentive Awards and Recognition Program Manager will close the action in the Incentive Award Tracking database.

- 8.3 Specific additional or alternative procedures are required for certain types of awards.

- 8.3.1 Honorary Awards (other than Career Service Awards) for EMCBC Federal employees must be coordinated with the EMCBC Director. The initiator may recommend a specific type of honorary token to be used.

- 8.3.2 Awards from Other DOE Sites and/or Other Federal Agencies:

A. The Initiator of the award must:

- complete DOE form “Delegation of Awards Approval Form,” and secure written approval of the EMCBC employee’s supervisor;

- the funding organizations must provide funding information and approval signatures for transfer of funds to the EMCBC; and
- the award must be approved by the appropriate manager of the office granting the award

B. Upon receipt of the completed Delegation of Awards Approval form, the Incentive Awards and Recognition Program Manager will:

- review the funding document for accuracy and completeness;
- validate that the action or activity identified in the award justification meets the requirements set forth in this IP;
- ensure that the appropriate value of benefit and extent of application is identified in the award justification;
- log the award into the Incentive Awards Tracking Database;
- route the award nomination for review and signature by the employee's supervisor and EMCBC Director; and
- process the award action pursuant to section 8.2.9 and Attachment J of this IP

Any award found not to meet the requirements set forth in this IP will be returned to the initiating agency with no action taken. The Incentive Awards and Recognition Program Manager will provide recommendations for corrections and guidance to the initiating office. The initiating office may then make the necessary corrections and return to the Incentive Awards and Recognition Program Manager for review and processing.

9.0 RECORDS MAINTENANCE

9.1 Records generated as a result of implementing this document are identified as follows and are maintained in accordance with the Office of Human Resources File Plan:

9.1.1 ADM 01-12-A1 Employee Award – Electronic Case Files

9.1.2 ADM 01-12-A2 Employee Award Files – Non DOE Awards

9.1.3 ADM 01-12-D Employee Award Files – Lists/Indexes to Agency Award Nominations

9.1.4 ADM 01-13 Incentive Awards Program Reports

9.2 In accordance with Title 5, USC 522, “Public Information, Agency Rules, Opinions, Records and Proceedings,” awards documents, except rating-based awards, which are protected by the Privacy Act, will be considered to be public records, and may be announced and/or presented by the EMCBC Director or his designee, in a manner fitting the award (i.e. newsletter articles, EMCBC All-Hands meetings, EMCBC awards ceremony).

10.0 FORMS USED

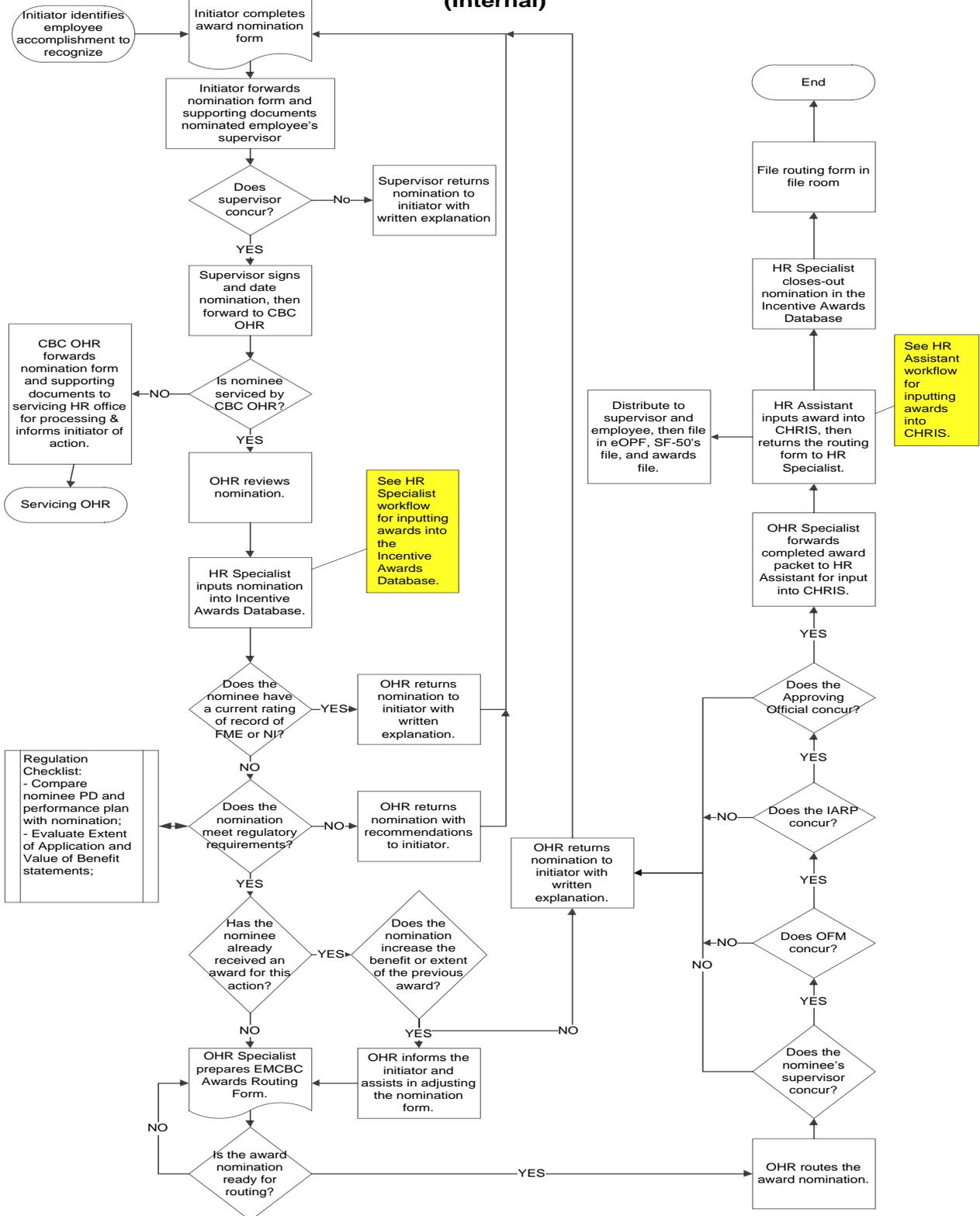
- 10.1 EMCBC Honorary Award Form
- 10.2 EMCBC On-the-Spot Award Form
- 10.3 EMCBC Special Act or Service Award Form
- 10.4 EMCBC Time-Off Award Form
- 10.5 EMCBC Incentive Award Review Panel Form

11.0 ATTACHMENTS

- 11.1 Attachment A - EMCBC Nomination for an Honorary Award
- 11.2 Attachment B - EMCBC Nomination for On-the-Spot Award
- 11.3 Attachment C - EMCBC Nomination for Special Act or Service Award
- 11.4 Attachment D - EMCBC Nomination for Time-Off Award
- 11.5 Attachment E - Appendix K: Approval Levels for Monetary Awards (DOE Supervisory/Non-supervisory Employee Performance Management and Recognition Program Desk Reference)
- 11.6 Attachment F - EMCBC Incentive Award Review Panel Form
- 11.7 Attachment G - Sample Award Justification using the STAR Technique
- 11.8 Attachment H - Appendix P: Time-Off Awards Scale (DOE Supervisory/Non-Supervisory Employee Performance Management and Recognition Program Desk Reference)
- 11.9 Attachment I - Appendix O: Monetary Awards Scale (DOE Supervisory/Non-Supervisory Employee Performance Management and Recognition Program Desk Reference)
- 11.10 Attachment J - EMCBC Incentive Award Review Panel Charter

12.0 FLOWCHART

**EMCBC Incentive Awards Workflow
(Internal)**



Attachment A

U.S. DEPARTMENT OF ENERGY					
ENVIRONMENTAL MANAGEMENT CONSOLIDATED BUSINESS CENTER					
NOMINATION FOR AN HONORARY AWARD					
<p><i>Instructions: This form is to be used to nominate an employee, or group of employees, for an Honorary Award (awards for a group of employees must contain a separate nomination form and justification for each member of the group). All nominations must be sent to the nominated employee's servicing HR office for processing. All awards are subject to the approval of the employee's rating chain and availability of funds.</i></p>					
<p><i>References: 5 USC 45, 5 CFR 451, DOE Order 331.1C, EMCBC Incentive Awards and Recognition Program IP</i></p>					
1. Employee Name (Last, First, MI) and Organization:		2. Title/Pay Plan/Series/Grade:		3. Date(s) of Achievement:	
4. Recommended EMCBC Honorary Award (i.e. plaque, certificate, letter of commendation):			5. Approved EMCBC Honorary Award:		
<p>6. Justification (All justifications must be written in the Situation, Task, Action, Result (STAR) technique. Please identify the value of benefit and extent of application of the action or service IAW Appendix O: Monetary Awards Scale of DOE O 331.1C. Use additional pages if needed):</p>					
7. Name/Title of Initiator:		7a. Date:	7b. Signature:		
8. Name/Title of Supervisor (if other than the initiator):		8a. Date:	8b. Signature:		
9. Name/Title of OHR Official:		9a. Date:	9b. Signature:		
10. Name/Title of OFM Official:		10a. Date:	10b. Signature:		
11. Name/Title of Approving Official:		11a. Date:	11b. Signature:	12. Effective Date in CHRIS:	13. Input by (Initials):

Attachment B

U.S. DEPARTMENT OF ENERGY					
ENVIRONMENTAL MANAGEMENT CONSOLIDATED BUSINESS CENTER					
NOMINATION FOR ON-THE-SPOT AWARD					
<p><i>Instructions: This form is to be used to nominate an employee, or group of employees, for an On-the-Spot award (awards for a group of employees must contain a separate nomination form and justification for each member of the group). All nominations must be sent to the nominated employee's servicing HR office for processing. All awards are subject to the approval of the employee's rating chain and availability of funds.</i></p>					
<p><i>References: 5 USC 45, 5 CFR 451, DOE Order 331.1C, EMCBC Incentive Awards and Recognition Program IP</i></p>					
1. Employee Name (Last, First, MI) and Organization:		2. Title/Pay Plan/Series/Grade:		3. Date(s) of Achievement:	
4. Recommended amount of EMCBC On-the-Spot Award (not to exceed \$500):			5. Approved amount of EMCBC On-the-Spot Award (not to exceed \$500):		
<p>6. Justification (All justifications must be written in the Situation, Task, Action, Result (STAR) technique. Please identify the value of benefit and extent of application of the action or service IAW Appendix O: Monetary Awards Scale of DOE O 331.1C. Use additional pages if needed):</p>					
7. Name/Title of Initiator:		7a. Date:	7b. Signature:		
8. Name/Title of Supervisor (if other than the initiator):		8a. Date:	8b. Signature:		
9. Name/Title of OHR Official:		9a. Date:	9b. Signature:		
10. Name/Title of OFM Official:		10a. Date:	10b. Signature:		
11. Name/Title of Approving Official:		11a. Date:	11b. Signature:	12. Effective Date in CHRIS:	13. Input by (Initials):

Attachment C

U.S. DEPARTMENT OF ENERGY				
ENVIRONMENTAL MANAGEMENT CONSOLIDATED BUSINESS CENTER				
NOMINATION FOR SPECIAL ACT OR SERVICE AWARD				
<i>Instructions: This form is to be used to nominate an employee, or group of employees, for an EMCBC Special Act or Service award (awards for a group of employees must contain a separate nomination form and justification for each member of the group). All nominations must be sent to the nominated employee's servicing HR office for processing. All awards are subject to the approval of the employee's rating chain and availability of funds.</i>				
<i>References: 5 USC 45, 5 CFR 451, DOE Order 331.1C, EMCBC Incentive Awards and Recognition Program IP</i>				
1. Employee Name (Last, First, MI) and Organization:	2. Title/Pay Plan/Series/Grade:	3. Date(s) of Achievement:		
4. Recommended amount of EMCBC Special Act or Service Award (not to exceed \$7,500):	5. Approved amount of EMCBC Special Act or Service Award (not to exceed \$7,500):			
6. Justification (All justifications must be written in the Situation, Task, Action, Result (STAR) technique. Please identify the value of benefit and extent of application of the action or service IAW Appendix O: Monetary Awards Scale of DOE O 331.1C. Use additional pages if needed):				
7. Name/Title of Initiator:	7a. Date:	7b. Signature:		
8. Name/Title of Supervisor (if other than the initiator):	8a. Date:	8b. Signature:		
9. Name/Title of OHR Official:	9a. Date:	9b. Signature:		
10. Name/Title of OFM Official:	10a. Date:	10b. Signature:		
11. Name/Title of Approving Official:	11a. Date:	11b. Signature:	12. Effective Date in CHRIS:	13. Input by (Initials):

Attachment D

U.S. DEPARTMENT OF ENERGY				
ENVIRONMENTAL MANAGEMENT CONSOLIDATED BUSINESS CENTER				
NOMINATION FOR TIME-OFF AWARD				
<i>Instructions: This form is to be used to nominate an employee, or group of employees, for an EMCBC Time Off award (awards for a group of employees must contain a separate nomination form and justification for each member of the group). All nominations must be sent to the nominated employee's servicing HR office for processing. All awards are subject to the approval of the employee's rating chain.</i>				
<i>References: 5 USC 45, 5 CFR 451, DOE Order 331.1C, EMCBC Incentive Awards and Recognition Program IP</i>				
1. Employee Name (Last, First, MI) and Organization:	2. Title/Pay Plan/Series/Grade:	3. Date(s) of Achievement:		
4. Recommended amount of EMCBC Time Off award(not to exceed 80 hours in a 52-week period):	5. Approved amount of EMCBC Time Off award (not to exceed 80 hours in a 52-week period):			
6. Justification (All justifications must be written in the Situation, Task, Action, Result (STAR) technique. Please identify the value of benefit and extent of application of the action or service IAW Appendix P: Time-Off Awards Scale of DOE O 331.1C. Use additional pages if needed):				
7. Name/Title of Initiator:	7a. Date:	7b. Signature:		
8. Name/Title of Supervisor (if other than the initiator):	8a. Date:	8b. Signature:		
9. Name/Title of OHR Official:	9a. Date:	9b. Signature:		
10. Name/Title of OFM Official:	10a. Date:	10b. Signature:		
11. Name/Title of Approving Official:	11a. Date:	11b. Signature:	12. Effective Date in CHRIS:	13. Input by (Initials):

APPENDIX K: Approval Levels for Monetary Awards

Non-SES Awards*

Approving Official	Performance	On-The-Spot**	Special Act Or Service**	Time-Off Award**	Referral Bonus	Quality Increase
Heads of HQs elements	Up to \$10,000	Up to \$500	Up to \$7,500	Up to 80 hours /yr; if for performance, see the Collective Bargaining Agreement	Up to \$500 or 16 hours time off	X
Administrator, NNSA	Up to \$10,000	Up to \$500	Up to \$10,000	Up to 80 hours/yr; not for a performance award		
HC-1			\$7,501 to \$10,000***			
Heads of Field elements	Up to \$10,000	Up to \$500	Up to \$7,500	Up to 80 hours/yr; if a performance award, see your local directive and/or Collective Bargaining Agreement	Up to \$500 or 16 hours time off	X

* Includes pay band V and SL/ST employees; (note: SL/STs are subject to change to the lower chart once the SL/ST performance management system is approved by OPM for certification)

** Per employee; there is no limit for a group of employees

*** For non-NNSA elements only

EMCBC Incentive Award Review Panel

Nominee: _____

Date(s) of Accomplishment: _____

Initiator: _____

Nominee's Supervisor: _____

Proposed Type of Award: _____

Proposed Award Amount: _____

Reason for Award:

Is the proposed award amount consistent with applicable policies and similar accomplishments?

_____ YES _____ NO

If not, what award amount is recommended by the IARP?

Recommended Award Amount: _____

Justification for recommended award amount, if different from proposed award (use additional pages if necessary):

Panel Chairperson

Date

Panel Member

Date

Panel Member

Date

Panel Member

Date

Incentive Award Program Manager

Date

Attachment G

Sample Justification using the STAR Technique

OLM FY10 Audit Reconciliation Group Award

During the last quarter of calendar year 2010 an issue was raised concerning the findings of an internal audit in the Office of Logistics. As part of the review, the audit team noticed significant discrepancies between the original (paper copy) property records from the Mound Site and the electronic records which were transmitted to the Office of Logistics during the exchange of more than one-million dollars of office equipment. As a result, more than 12,000 pieces of equipment were unaccounted for in the electronic database. In addition, the Office of Logistics was preparing to electronically transfer the bulk of the "missing" items to the Corps of Engineers as part of an inter-agency transfer in three weeks.

Comment [KLH1]: This first paragraph is the Situation. It identifies the conditions that precede, or bring about the need for the task.

In an effort to rectify the issue, the EMCBC assigned five personnel, including Tyler White to review the records, complete a line-item inventory, update the electronic records, and identify any remaining discrepancies. In total, the team would be required to manually review more than 8,000 documents related to the disposition of the office equipment, physically locate and record the location of the 12,000 pieces of equipment, and update the electronic database so that the inter-agency transfer with the Corps of Engineers could be completed by the established deadline.

Comment [KLH2]: This is the task. It identifies what must be done in order to address the situation.

In order to complete the task, the team separated into two smaller teams (Team A and Team B) to complete the assignment. Team A was tasked with performing a detailed review of all of the documents so as to identify the appropriate source document for each missing item and update the electronic database. Team B was tasked with physically identifying each missing item, properly annotating their disposition in the storage facility, and provide updates to Team A. By the end of the first week, Team B had successfully located all of the missing items, and Team A had nearly completed the migration of information from the paper records to the electronic database. By the tenth day, almost two weeks before the inter-agency transfer, both teams had completed their assignments, having located all of the missing items and updating the electronic database.

Comment [KLH3]: This is the actions (group action in this scenario) that were undertaken to complete the task.

As a member of the group effort, Tyler White assisted in the review of the source documents and input more than 75% of the data into the database with no errors. Additionally, he helped Team B develop a process for validating the disposition of the missing equipment.

Comment [KLH4]: This is the individual's actions that were undertaken to complete the task.

As a result of the groups successful early completion of the OLM FY10 Audit Reconciliation the transfer of the equipment to the Corps of Engineers was able to be completed with full accountability of all pieces of equipment.

Comment [KLH5]: This is the result of group's actions.

Value of Benefit: The contributions of Tyler White to this project ensured its successful completion ahead of schedule, which in turn allowed the EMCBC to transfer the proper pieces of equipment to the Corps of Engineers resulting in a substantial value to the EMCBC.

Comment [KLH6]: This is value of benefit for this accomplishment. Note that the value is determined to be substantial because the contributions that Tyler made to the project represented an important improvement to the value of the end product (in this case the expeditious accountability and transfer of the office equipment).

Extent of Application: Since this project ultimately benefitted both the EMCBC and the Corps of Engineers, this team member's contributions are of extended affects.

Comment [KLH7]: Since the project benefitted two or more Field Offices, the extent of application is extended effects as shown on Attachment G: Monetary Awards Scale.

Recommended award: \$500 Special Act Award

APPENDIX P: Time-Off Awards Scale

TIME OFF AWARD SCALE FOR INTAGIBLE BENEFITS	
VALUE OF THE EMPLOYEE'S CONTRIBUTION	HOURS TO BE AWARDED
<i>MODERATE</i> – A contribution to a product, program or service to the public which is of sufficient value to merit formal recognition. Beneficial change or modification of operating principles or procedures.	1 - 10 Hours
<i>SUBSTANTIAL</i> – An important contribution to the value of a product, activity, program or service to the public. Significant change or modification or operating principles or procedures.	11 - 20 Hours
<i>HIGH</i> – A significant contribution to the value of a product, activity, program or service to the public. Complete revision of operating principles or procedures with considerable impact.	21 - 30 Hours
<i>EXCEPTIONAL</i> – A superior contribution to the quality of a critical product, activity, program or service to the public. Initiation of a new principle or major procedure with significant impact.	31 - 40 Hours

Source: DOE Supervisory/Non-supervisory Employee Performance Management and Recognition Program Desk Reference, dated October 1, 2010

APPENDIX O: Monetary Awards Scale

MONETARY AWARDS SCALE FOR INTANGIBLE BENEFITS FROM SUGGESTIONS, INVENTIONS, SPECIAL ACTS OR SERVICES				
VALUE OF BENEFIT	EXTEND OF APPLICATION			
	Limited Affects functions, mission, or personnel of one office (e.g., field site office or one office within a HQ Departmental element). Affects a small area of science or technology.	Extended Affects functions, mission, or personnel of a several field site offices or HQ office within a Departmental element (e.g., more than one). Affects an important area of science or technology.	Broad Affects functions, mission, or personnel of an entire Departmental element or Departmental element with multiple site offices. Affects a broad area of science or technology.	General Affects functions, mission, or personnel of multiple Departmental elements or throughout the Department or is in the public interest throughout the Nation or beyond.
Moderate Change or modification of an operating principle or procedure with limited impact or use.	Up to \$120	Up to \$300	Up to \$600	Up to \$1,200
Substantial change or modification of an operating principle or procedure; an important improvement to the value of product, activity, or program.	Up to \$300	Up to \$600	Up to \$1,000	Up to \$3,000
High Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, or program.	Up to \$600	Up to \$1,200	Up to \$3,000	Up to \$6,000
Exceptional Initiation of a new principle or procedure; a superior improvement to the quality of a critical product, activity, or program.	Up to \$1,200	Up to \$3,100	Up to \$6,000	Up to \$10,000 (awards over \$10,000 must be approved my OPM)

MONETARY AWARDS SCALE FOR TANGIBLE BENEFITS	
SAVINGS TO GOVERNMENT	AWARD AMOUNT
Up to \$10,000	10 percent of the benefits
\$10,001 – \$100,000	\$1,000 for the first \$10,000 in benefits, plus 3 percent of benefits over \$10,000
\$100,001 or more	\$3,700 for the first \$100,000 in benefits, plus .005 of benefits over \$100,000. Award amount should not exceed recipient's annual salary.

Source: DOE Supervisory/Non-supervisory Employee Performance Management and Recognition Program Desk Reference, dated October 1, 2010

EMCBC INCENTIVE AWARD REVIEW PANEL CHARTER

PURPOSE:

The purpose of the EMCBC Incentive Award Review Panel (IARP) is to ensure consistency in the awarding of monetary and non-monetary incentive awards. The IARP will ensure that the awards process is implemented in a manner that: 1) promotes organizational morale and motivation; 2) provides for real-time recognition of highly-effective and efficient work results achieved by an individual or group in support of the organization’s goals and objectives; and 3) complies with EMCBC Implementing Procedure 331-02, Incentive Awards and Recognition Program, June 30, 2011, and all other applicable guidance.

MEMBERSHIP:

The IARP will consist of a Chairperson and three rotating Assistant Directors. The rotation will be as follows for calendar year 2012:

		2012											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Deputy		C	C	C	C	C	C	C	C	C	C	C	C
OC		X	X	X				X	X	X			
OCE&PM		X	X	X				Alt	Alt	Alt	X	X	X
OCRD		X	X	X							X	X	X
OFM		Alt	Alt	Alt	X	X	X				X	X	X
OHR					X	X	X				Alt	Alt	Alt
OIRM					X	X	X						
OLS					Alt	Alt	Alt	X	X	X			
OTSAM								X	X	X			

C	Chair	X	A.D.	Alt	Alternate
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The IARP will meet at least once each month, depending on the number of awards submitted during that month, to review pending incentive awards.

Panel members will follow EMCBC IP 331-02, EMCBC Incentive Awards and Recognition Program, to review each award and determine if the award value is appropriate, as well as consistently applied.

Attachment J

In the event that an award to be reviewed is from a current panel member's office of responsibility, or was initiated by a current panel member, then the designated alternate panel member for that month will review that award with the remaining two panel members.

A quorum consisting of a simple majority of the panel is required to conduct official business.

RESPONSIBILITIES:

Panel Members

The Chairperson will:

- Convene the panel monthly, or more often as appropriate;
- Ensure that the Committee operates within the limits of this Charter;
- Review award nominations for appropriateness and consistency with EMCBC IP 331-02;
- Complete the EMCBC Incentive Awards Review Panel form; and
- Return all award nominations and completed Incentive Awards Review Panel forms to the Incentive Awards and Recognition Program Manager.

The Committee Members will:

- Review award nominations for appropriateness and consistency with EMCBC IP 331-02; and
- Make recommendations on the appropriateness of the value of the award suggested by the initiator.

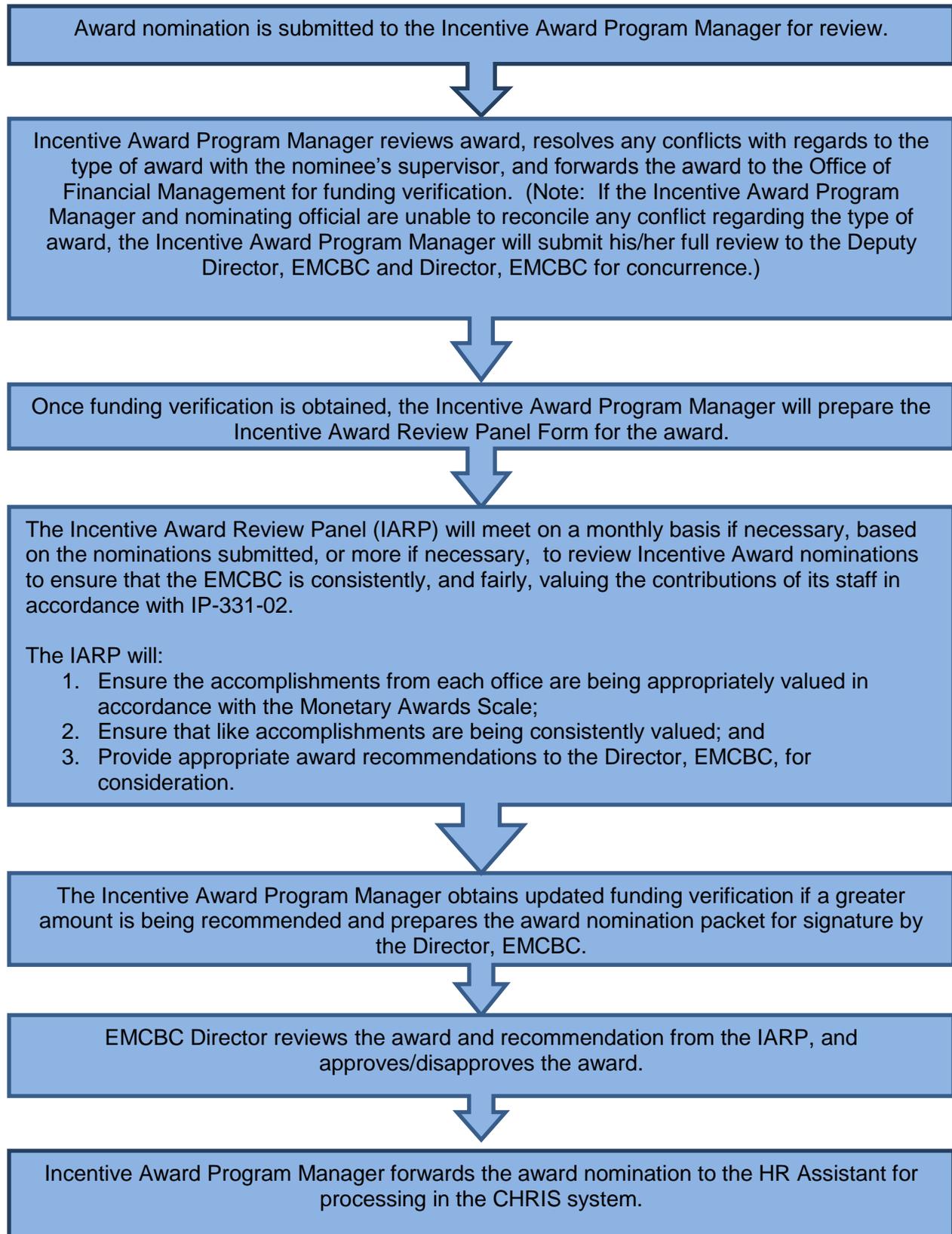
Program Manager

The Incentive Awards and Recognition Program Manager will:

- Provide technical guidance and technical support to the Panel;
- Maintain official award nomination files;
- Prepare the award packets for review each month, consisting of:
 - Award nomination packet (award form, supporting documents, etc.);
 - Nominee's position description at the time of the accomplishment for which he/she is to be recognized;
 - Nominee's performance plan at the time of the accomplishment for which he/she is to be recognized; and
 - Incentive Award Review Panel form
- Provide awards statistical data annually to the IARP and the Director for review; and
- Monitor all panel activities and make recommendations to the panel concerning the incentive awards program requirements

Attachment J

EMCBC Incentive Award Review Panel Process



EMCBC RECORD OF REVISION

DOCUMENT TITLE: **EMCBC Incentive Awards and Recognition Program**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
Rev 1	Adding IARP info	2, 3 5, 6 10 – 18 23 – 26	9/2012