

DOE 3450.1B
6-23-92

THIS PAGE MUST BE KEPT WITH DOE 3450. 1B, INCENTIVE AWARDS.

DOE 3450.1B, INCENTIVE AWARDS, HAS REVISED DOE 3450. 1A TO REFLECT ONLY ORGANIZATIONAL TITLE AND ROUTING SYMBOL EDITORIAL REVISIONS REQUIRED BY NOTICES IN THE SEN-6 SERIES. NO SUBSTANTIVE CHANGES HAVE BEEN MADE AT THIS TIME. HOWEVER, THIS ORDER WILL UNDERGO SUBSTANTIVE CHANGES IN THE NEAR FUTURE. IF YOU HAVE ANY QUESTIONS ABOUT PROVISIONS OF THE ORDER, PLEASE CONSULT APPROPRIATE STAFF MEMBERS IN THE OFFICE OF PERSONNEL. WE TO THE NUMBER OF PAGES AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION.

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 3450.1B

Approved: 06-23-92

This directive was reviewed and certified as current and necessary by (Enter Name), (Enter Title) Director, Office of Management, Budget and Evaluation/Chief Financial Officer, XX-XX-XXXX.

SUBJECT: INCENTIVE AWARDS

1. **PURPOSE.** To provide general policy and guidance and to assign responsibilities and authorities for granting Department of Energy (DOE) and Presidential incentive awards to Departmental employees, for providing Departmental incentive awards to employees of other Government agencies, and providing Departmental public service awards to private citizens and organizations.
2. **CANCELLATION.** DOE 3450.1A, INCENTIVE AWARDS, of 11-30-89.
3. **COVERAGE.** The provisions of this Order cover awards granted for contributions which benefit DOE. Potential candidates are:
 - a. A Departmental employee, except as provided by Attachment 1, "Eligibility for Incentive Awards."
 - b. An employee of another Government agency when his or her contribution is adopted by DOE and the award is concurred in by the employing agency, except as provided by Attachment 1.
 - c. A former Government employee, or his/her estate, provided that the employee made the contribution while employed by the Government, except as provided by Attachment 1.
 - d. Eligible Departmental contractor employees and other private citizens and organizations.
4. **REFERENCES.**
 - a. Title 5, United States Code (U.S.C.), chapter 45, which contains the statutory authority for the Government incentive awards program.
 - b. Title 5, Code of Federal Regulations (CFR), part 451, Federal Personnel Manual (FPM), chapter 451, and FPM Supplement 451-1, which contain the Office of Personnel Management (OPM) regulations and instructions for the operation of agency incentive awards programs.
 - c. Title 37, CFR, chapter 100, which sets forth the Government policy concerning the allocation of rights to inventions made by Federal employees.

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- d. DOE 1322.2B, FORMS MANAGEMENT, of 5-17-87, which provides general "guidance and direction for preparing and approving forms.
- e. DOE 3430.3A, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, of 8-14-86, which establishes policy and procedures for appraising performance of Departmental employees who are not in the SES.
- f. DOE 3430.4A, SENIOR EXECUTIVE SERVICE PERFORMANCE APPRAISAL SYSTEM, of 8-18-84, which, among other provisions, sets forth the responsibilities and authorities for granting bonuses (performance awards) to career appointees in the Senior Executive Service (SES).
- g. DOE 3540.1A, PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM, of 8-14-86, which establishes a system that provides for granting performance awards to Performance Management and Recognition System (PMRS) employees.
- h. DOE 3550.1A, PAY ADMINISTRATION AND HOURS OF DUTY, of 12-22-87, which, among other provisions, sets forth the criteria and responsibilities for granting quality step increases to Departmental employees in the General Schedule.

5. DEFINITIONS.

- a. **Award or Incentive Award.** A monetary, nonmonetary or honor award, issued by the Government of the United States to an employee or a group of employees under the authority of (or administered in accordance with) Title 5 U.S.C., chapter 45. The definition includes Presidential recognition granted under 5 U.S.C., sections 4504 and 4507. (A quality step increase, an SES bonus, a monetary award for performance by a PMRS employee, a performance rating of record, or an award sponsored by a private organization is not an incentive award under this Order).
- b. **Awards Review Board (ARB)** A panel which reviews nominations of Departmental employees and makes appropriate recommendations to the Secretary (S-1) for incentive awards, performance awards, or external award nominations that require endorsement of the Secretary, except those requiring action by the Executive Personnel Board or those based on cost-savings disclosures to the Inspector General (IG-1). The composition of the ARB is determined by the Secretary.
- c. **Awards Review Board for Public Service Awards (ARB/PSA)** A panel which reviews nominations for Departmental recognition of private citizens or organizations outside the Federal Government and makes appropriate recommendations to the Secretary concerning required endorsements or approval. The composition of the ARB/PSA is determined by the Secretary.

- d. **Employee Contribution.** An accomplishment achieved through an individual or group effort in the form of a suggestion, an invention, or a special act or service in the public interest connected with or related to official employment, which contributes to the efficiency, economy, or other improvement of Government operations, or achieves a significant reduction in paperwork.
- e. **Executive Personnel Board (EPB).** A panel which reviews and approves incentive award nominations of SES, Presidential, and supergrade (GS-16 and above) executives that require endorsement of the Secretary, excluding recommendations for awards based on cost-savings disclosures to the Inspector General. The composition of the EPB is determined by the Secretary, who chairs the EPB.
- f. **Heads of Departmental Elements.** Individuals responsible for Departmental first-level organizations in Headquarters (Office of the Secretary, DOE Staff Officers) and Heads of Field Elements (defined in DOE 1325.1A, CORRESPONDENCE MANUAL).
- g. **Honor or Nonmonetary Award.** A medal, certificate, plaque, citation, badge, or other similar item that has an award or honor connotation.
- h. **Intangible Benefit.** A benefit to the Government which cannot be measured in terms of dollar savings.
- i. **Organizations with Delegated Personnel Authority.** As used herein, the term includes the Inspector General, the DOE Field Offices, Power Marketing Administrations, the energy technology centers, the Pittsburgh Naval Reactors Office, and the Schenectady Naval Reactors Office. (Component organizations, such as area offices, are not included in this definition.)
- j. **Public Service Award.** An honor award granted to a person or organization outside the U. S. Government for activities or efforts which significantly aid or facilitate the work of the Department.
- k. **Performance Award.** A performance-related monetary award which is granted to an employee based on his or her performance rating of record.
- l. **Superior Accomplishment Award.** A monetary or nonmonetary award granted to an employee for a contribution resulting in tangible benefits or savings and/or intangible benefits to the Government.

- (1) Invention Award. Monetary or nonmonetary recognition granted to a Federal employee for an invention for which the Government holds title or license and which is of benefit to the Department or the public, or for which patent coverage is sought or granted.
 - (2) Suggestion Award. Monetary or nonmonetary recognition granted when a constructive proposal, submitted in writing by one or more employees, is adopted that directly contributes to reducing costs or directly increases the effectiveness of Departmental or Governmental operations, or results in a significant reduction in paperwork.
 - (3) Special Act or Service Award. Monetary or nonmonetary recognition of a contribution or accomplishment in the public interest which is:
 - (a) Nonrecurring in nature and normally outside of the employee's job responsibilities;
 - (b) A scientific achievement; or
 - (c) An act of heroism.
- m. Tangible Benefit. A benefit or savings to the Government that can be measured in terms of dollars saved.
6. POLICY. It is Departmental policy:
- a. To encourage maximum employee contributions to the efficiency and economy of Departmental and Governmental operations by granting honor, nonmonetary, and monetary awards to recognize high-level performance, exceptional one-time acts or service, adopted suggestions or inventions, and disclosures which benefit the Department through reductions in fraud, waste, or mismanagement.
 - b. To grant not more than one form of monetary recognition for the same contribution. When there is some degree of overlap, such as a special act which is difficult to distinguish from recurring duties, every effort shall be made to determine the single most appropriate form of monetary recognition, or to reduce the award amount to take the other forms of recognition into account and, thereby, to ensure the equity and cost-effectiveness of the awards program.
 - c. To grant awards in a progressive manner commensurate with the nature of the contribution or continuous contributions in order to increase employee responsiveness and mission accomplishment. Supervisors, therefore, should provide initial recognition in the

form of verbal commendations, selection for special task force assignments, memorandums of appreciation, and certificates of appreciation prior to granting monetary awards and higher honorary recognition.

- d. To consider employee contributions for the widest application, both those which arise within DOE and those referred by other agencies, in order to derive the maximum possible benefit for the Government. Employee suggestions, inventions, and other superior accomplishments, and disclosures of fraud, waste, or mismanagement which are referred to the Department by other agencies are to be considered for Departmental application in a manner comparable to that established for considering contributions by Departmental employees.
- e. That Departmental Elements make the maximum use of their incentive awards authorities to enhance the achievement of Departmental and national goals and sustain employee morale through consistent and timely recognition of their contributions.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Organization and
Human Resource Management

ELIGIBILITY FOR INCENTIVE AWARDS

To be eligible for incentive awards discussed in this Order (except those authorized by Chapter VII, "Public Service Awards"), an individual must meet the definition of employee contained in section 2105 of title 5, United States Code. Special abbreviations are defined on page 4 of this attachment.

Category of Employee	Presidential Recognition (other than SES Ranks)	Suggestion/Invention or Award	Performance/Special Act Service (SAS) Award	Career Service Emblem
Active Duty Military Personnel	Letters and PMIA Only	Yes, through separate legislation	No	No
Administrative Law Judges	No	No	No	Yes
Consultants	Letters and PMIA Only	Yes, if meet the definition of employee	Yes, if meet the definition of employee	No
Contractors	Letters and PMIA only, if meet the definition of employee	Yes, if meet the definition of employee	Yes, if meet the definition of employee	No
Detailees	Yes	Yes	Yes	Yes
Excepted Service	Yes	Yes	Yes	Yes
Executives GS-16 and above:				
Career SES <u>2/</u>	Yes	Yes	Yes	Yes
Noncareer SES <u>2/</u>	Letters and MIA only <u>10/</u>	Yes	Yes (SAS only)	Yes
Non-SES (Except those appointed by and with the advice and consent of the Senate <u>3/</u>	Yes	Yes	Yes	Yes

See explanation of abbreviations on page 4, Attachment 1.

Category of Employee	Presidential Recognition (other than SES Ranks)	Suggestion/Invention or Award	Performance/Special Act Service (SAS) Award	Career Service Emblem
Foreign National (permanent)	Yes	Yes, if meet the definition of employee	Yes, if meet the definition of employee	Yes
Intermittent	Yes	Yes	Yes <u>9/</u>	Yes
IPA Assignees:				
Federal	No <u>5/</u>	No <u>5/</u>	No <u>5/</u>	Yes
Non-Federal	No	No <u>6/</u>	No <u>6/</u>	No
Part-time Permanent	Yes	Yes	Yes <u>9/</u>	Yes
PMRS (GM) <u>4/</u>	Yes	Yes	Yes <u>4/</u>	Yes
PMS	Yes	Yes	Yes	Yes
Presidential Appointees	No <u>7/</u>	Yes 11/	Yes 11/	Yes
Private Citizens	No	Honorary	Honorary	No
Public Health Service Commissioned Officers	Yes	Yes	Yes	Yes
Public Law 313	Yes	Yes	Yes	Yes
Reemployed Annuitants	Yes	Yes, if meet the definition of employee	Yes, if meet the definition of employee	Yes
Retirees	No <u>8/</u>	Honorary only <u>8/</u>	Honorary only <u>8/</u>	No

Category of Employee	Presidential Recognition (other than SES Ranks)	Suggestion/Invention or Award	Performance/Special Act Service (SAS) Award	Career Service Emblem
Stay-in-School, Co-op, Federal Junior Fellows	Letters and PMI A only	Yes	Yes <u>9/</u>	No
Summer	Letters and PMI A only	Yes	Yes <u>9/</u>	No
TAPER	Yes	Yes	Yes	Yes
Temporary	Letters and PMI A	Yes	Yes <u>9/</u>	Yes
Tennessee Valley Authority Employees	No	No	No	No
U. S. Postal Service	No	Yes, under separate authority	Yes, under separate authority	No
Wage Grade	Yes	Yes	Yes	Yes
Youth Adult Conservation Corps	No	No	No	No

- 1/ If for heroic act or other nonperformance-related factor, a superior accomplishment award for special act or service may be granted.
- 2/ SES employees are eligible for each Departmental incentive award authorized by this Order except for performance awards.
- 3/ Unless they were career SES executives who accepted Presidential appointments requiring Senate confirmation in positions equal to or greater than Executive Level V and who elected to continue to have the SES benefits relating to basic pay, performance awards, and awarding of ranks under 5 U.S.C 3392(c).
- 4/ Through separate legislation (5 USC 5403) and through DOE 3540.1A, GM employees are eligible for each award authorized by this Order except for performance awards.
- 5/ Yes, if the contribution substantially benefits the Federal Government.
- 6/ Yes, if the individual is serving under a temporary appointment in the Federal Government.

- 7/ Unless serving in what may be considered to be a career position.
- 8/ If the contribution was made while the person was employed by the Government, a Presidential or cash award may be granted if otherwise merited.
- 9/ Amount of performance award must be prorated according to time worked.
- 10/ Unless their work in the Government might be considered to be within the Federal career service.
- 11/ OPM recommends that Presidential appointees whose appointments require Senate confirmation receive honorary rather than monetary awards.

EXPLANATION OF ABBREVIATIONS.

- PMS - Performance Management System employees.
- PMRS - Performance Management and Recognition System employees.
- SES - Senior Executive Service employees.
- TAPER - Temporary appointment pending establishment of OPM register.

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CHAPTER I

GENERAL

1. RESPONSIBILITIES AND AUTHORITIES.

a. General.

- (1) The approving or disapproving official must be at least one level of line management higher than the initiating official unless the latter is the Secretary; this requirement applies to each designation of authority made by this Order, as well as each redesignation permitted thereunder.
- (2) The approval of each award except the Secretary's Award or an award for cost-savings disclosure to the Inspector General (IG-1) (See Chapter VIII, "Monetary Awards for Cost-Savings Disclosures to the Inspector General") is subject to prior regulatory review by the servicing personnel office before it is forwarded to the approving official for his or her consideration. The regulatory review ensures that the proposed award complies with all requirements of statute as well as the OPM, Departmental, and local regulations; and that no award is approved unless these requirements are met. The payment of an approved monetary award must be authorized by the servicing personnel office.

b. The Secretary.

(1) Approves:

- (a) A monetary award, including those of more than \$5,000 but not exceeding \$10,000; and
- (b) Awards for employees who report directly to him or her.

(2) Authorizes for Submission to OPM

- (a) Any nomination for a monetary award which exceeds \$10,000; and
- (b) Any nomination for a Presidential award.

c. The Deputy Secretary and the Under Secretary

- (1) Recommend to the Secretary (through the ARB or the EPB, as appropriate) a nomination for a monetary award exceeding \$5,000 for employees within their organization.

- (2) Recommend to the Secretary for approval a monetary award of less than \$5,000 for any employee who reports directly to them.
 - (3) Approve or disapprove a monetary award not exceeding \$5,000 in accordance with the scale established for granting monetary awards to an employee under their direct line of supervision in the SES, in grades GS-1 through GS-15, or a prevailing rate position.
- d. **Awards Review Board** Reviews nominations for awards and makes appropriate recommendations to the Secretary when the endorsement or approval of the Secretary is required or desired, except those requiring action by the EPB or those based on cost-savings disclosures to the Inspector General (IG-1).
- e. Heads of Headquarters Elements: the Administrator, Bonneville Power Administration (BPA); the Administrator, Western Area Power Administration (Western); Managers of DOE Field Offices; and the Inspector General.
- (1) Establish and amend, as appropriate, operating instructions to ensure not only effective and efficient operation, but also adequate funding and staff support of the incentive awards program within their respective organizations as well as in their subordinate field elements. Such instructions must be consistent with this Order.
 - (a) Instructions, including changes thereto, must be in writing, consistent with this Order and with any other standards or guidance issued by the Office of Personnel. Copies of the instructions are to be furnished to their servicing personnel office and made available to the employees in their organizations.
 - (b) Operating instructions should provide support for Federal and Departmental missions and goals. In addition, they should reflect organizational needs, including: redelegations of approval and disapproval authority, where permitted by this Order; review and approval of subordinate field element operating instructions established in accordance with this section; internal time limits to ensure compliance with Departmental deadlines for processing award nominations; organizational funds control; methods of presentation of awards and other evidence of employee recognition except as otherwise directed by the Secretary; program publicity; establishment of uniform and variable award scales/methods for performance awards (including written criteria and application of prorating) as provided on page VI-4, paragraph 5c, d,

and e; the nature and extent of written justification needed; procedures to ensure managerial and regulatory review of awards prior to approval and granting of awards; and any other provisions deemed necessary to carry out the requirements of this Order.

- (2) Recommend the establishment of special monetary or nonmonetary awards to meet the special needs or missions of their respective organizations, such as awards that promote occupational safety and health, recognize achievement of equal employment opportunity goals, seek to improve services to the public, or to recognize increased productivity. These special awards, when established, must conform with this and any other governing Departmental Order; be developed in cooperation with the servicing personnel office; be approved by the Director of Personnel and be publicized locally. Although it is not necessary to display the DOE seal, paraphernalia for these awards must include the words, "Department of Energy," and may not be more costly or larger than Departmental awards for contributions of comparable importance or value. The originating organization is to furnish its employees with information about the purpose, criteria, and form of these special awards.
- (3) Recommend to the Secretary (through the ARB or the EPB, as appropriate) a nomination for a monetary award exceeding \$5,000.
- (4) Approve or disapprove a monetary award not exceeding \$5,000 that is in accordance with the organization's established scale/method for granting monetary awards to employees in the SES, in grades GS-1 through GS-15, GM-13 through GM-15, or in prevailing rate positions. Recommend to the Director of Personnel, through the servicing personnel office, superior accomplishment awards which are exceptions to the tangible and intangible benefits awards scales even though they do not exceed \$5,000 and recommendations for exceptions to the scales involving SES awards in order to obtain approval of the EPB.
 - (a) The authority to approve or disapprove awards throughout the entire organization on behalf of the head of an organization may be redelegate by the head of the organization only to an official at the next lower level with management or program oversight responsibility for the entire organization; for example, a full Deputy, an Executive Assistant Administrator, or an Assistant Manager for Administration.

- (b) When the organization is geographically dispersed, or so large as to place an undue administrative burden on the Administrator or Manager, the Administrators of BPA and Western, and the Managers of the DOE Field Offices may redelegate authority to approve or disapprove awards of up to \$5,000 to the manager of a subordinate organizational unit who reports directly to the delegator. Concurrence by the Director of Administration and Human Resource Management is required before such redelegations may be effected and copies of such redelegations are provided to the Chief Financial Officer.
- (c) Heads of Headquarters Elements may authorize the heads of appropriate subordinate field elements with delegated personnel authority to approve or disapprove monetary awards up to \$5,000. Copies of such redelegations are to be provided to the Director of Personnel and the Chief Financial Officer.
- (5) Recommend to the Secretary (through the ARB) a performance award not exceeding \$5,000 which is in excess of 10 percent of base pay, but is not more than 20 percent of base pay for an employee in grades GS-1 through GS-15, or in a prevailing rate position.
- (6) Provide for a prompt, objective, and fair evaluation of an employee suggestion pertaining to the functions and operations of their respective organizations, including computing the estimated tangible or intangible benefits, or both; adopting a suggestion that is beneficial to the organization; and furnishing appropriate reports thereon.
- (7) Encourage supervisors to use incentive awards as a motivational tool and evaluate supervisors accordingly; ensure that employees who are nominated for recognition are considered for the award or other type of recognition that is most appropriate for and consistent with the contribution made; and, as needed, encourage their supervisors to obtain advice and assistance from their servicing personnel office.
- (8) Ensure that documentation for all approved awards is submitted to the servicing personnel office for inclusion in the employee's Official Personnel Folder (OPF) and for reporting purposes.
- (9) Ensure that due weight is given to incentive awards granted by the President, the Department, or any other Government agency under Title 5 U.S.C., chapter 45, when their organization ranks Government employees for promotion.

Awards sponsored by private organizations are not considered for promotion purposes because, in some cases, eligibility criteria are based on nonmerit factors.

- (10) Provide for effective local program promotion and publicity.
 - (11) Review program results at least annually to ensure that awards are granted equitably, on the basis of merit, and in a timely manner.
 - (12) Ensure that labor-management obligations are considered when implementing this Order.
- f. Heads of Other Organizations with Delegated Personnel Authority
Consistent with delegations and instructions from the parent organization, utilize incentive awards to motivate employees, as outlined in subparagraph i below; and as applicable, exercise responsibilities on pages I-2 through I-5 paragraphs 1e(1), (2), (6), (7), (8), (9), (10), (11) and (12); approve or disapprove monetary awards for employees within the organization based on delegated authority by the parent organization; and, where appropriate, establish a scale for granting PMS employees awards up to the amount authorized by any redelegation of authority.
- g. Heads of Field Elements Which Provide Personnel Support for Other Field Elements, but Do Not Serve in a Line Management Capacity Relative to those Elements. When the Head of a Field Element provides personnel support, but not line supervision over other Field elements, his or her authority and responsibility in incentive awards matters regarding such elements is limited to assuring that all requirements for processing such awards are met. The head of an element who receives personnel support is responsible for ensuring that actions initiated by those organizations comply with statutes and OPM, Departmental, and local regulations, and obtaining all clearances and approvals required by higher line management in the employee's parent organization.
- h. Heads of Field Elements Which Receive Personnel Support from Other Field Elements have the same responsibilities for utilizing incentive awards to motivate employees as other supervisors (see subparagraph below). Unless they have been authorized to approve and disapprove awards by the parent organization, award recommendations must be forwarded through the servicing personnel office to the head of their parent organization for approval. The servicing personnel office conducts the required regulatory review. An official who has been authorized to approve and disapprove awards by a parent organization, a power marketing Administrator, or the Manager of a DOE Field Office should furnish a copy of that authorization to the servicing personnel office; thereafter, the personnel office conducts the required regulatory

review and returns the recommendation to the head of the initiating field element for approval or disapproval, as appropriate. The provisions of-page I-1, paragraph 1a, and pages I-3 through I-5, paragraphs 1e(2) through (12) apply to those managers with authority to approve incentive awards.

i. **Each Supervisor and Manager.**

- (1) Informs his or her employees about the incentive awards program, specifically providing guidance on the use of creative thought to develop suggestions which may improve Departmental productivity and services, and the techniques of writing suggestions clearly and succinctly, to include estimation and description of benefits to the Department.
- (2) Prepares nominations of subordinate employees for appropriate awards when justified by employee contributions. The nominations may result either from formal management review processes, such as annual performance appraisal, cost reduction, work simplification, or management improvement programs, or from informal, continuing supervisory review. Nominations are to be submitted through normal supervisory channels to the servicing personnel office for the required regulatory review and submission to the designated approving official.
- (3) Has major responsibility for ensuring effective use of available forms of recognition of employee contributions; granting recognition based solely on merit; determining and promptly recommending the type of recognition that is most appropriate for the contribution made and for further motivating the employee and his/her coworkers; and for achieving the greatest cost benefit to the organization.
- (4) Initiates an award nomination (honorary, monetary, or nonmonetary) for an employee of another Departmental organization or another Government agency, when appropriate, in order to provide recognition of contributions made by the employee while serving on a task force, work team, or detail which was under the supervision or direction of the initiating official.
 - (a) A nomination of a Departmental employee is forwarded to the employee's supervisor of record for recommendation and submission through normal supervisory channels to the servicing personnel office for regulatory review and consideration by the designated approving official.

- (b) A nomination of an employee of another agency is submitted through normal supervisory channels to the servicing personnel office for regulatory review, coordination with and concurrence by the employing agency, and submission to the designated approving official.
- j. EMPLOYEES. Each employee is responsible for contributing the special thought and effort necessary to his or her participation in the common task of improving the effectiveness, efficiency, and economy of Departmental and Government operations and service to the public.
- k. Director of Administration and Human Resource Management (AD-1). Monitors the overall effectiveness of the incentive awards program and ensures that appropriate administrative support is provided to the ARB and the EPB, as well as to other Departmental program aspects.
- l. Director of Administrative Services (AD-60).
 - (1) Maintains and, as approved by the Director of Personnel and Career Development, issues service emblems, certificates, holders, medals, and other supplies required for the operation of the incentive awards program.
 - (2) Notifies the Director of Personnel when minimum stock levels of any awards paraphernalia have been reached to facilitate the purchasing process or other decision making required.
- m. Director of Personnel (AD-50).
 - (1) Ensures that the incentive awards program is administered throughout the Department in a manner consistent with OPM requirements and this Order; provides Departmental liaison with Government and nonGovernment organizations; and establishes and maintains a system for systematic evaluation, planning, and reporting on the incentive awards program, including feedback reports to employees. The program reports are to include data obtained from feeder reports from servicing personnel offices.
 - (2) Evaluates the effectiveness of the awards program and, as appropriate, recommends revisions in governing policies and procedures.
 - (3) Provides Departmental program promotion and publicity.
 - (4) Approves or disapproves exceptions to the Departmental scales for tangible or intangible benefits.

- (5) Reviews and provides recommendations on nominations for awards that require the approval of the Secretary.
- (6) Provides for the referral of suggestions and inventions to other Government agencies for evaluation; the receipt and processing of those from other agencies which have possible Departmentwide or Governmentwide application; and the transfer of funds to pay Incentive awards to employees of other Government agencies. If a suggestion or other superior accomplishment affects the systems whereby the functions or operations of more than one Departmental Element are accomplished, obtains recommendations from the Office of Organization, Resources and Facilities Management, as well as the affected organizations.
- (7) Arranges an annual Departmental awards ceremony.
- (8) Authorizes and requisitions plaques, medals, service emblems, certificates, holders, and other supplies required for operation of the incentive awards program except those established in accordance with page I-3, paragraph 1e(2).
- (9) Authorizes the establishment of special awards that are appropriate to the needs of individual elements of the Department, in accordance with page V-n, paragraph 5.
- (10) Ensures that program reports are forwarded to the OPM as required.

n. Servicing Personnel Offices.

- (1) Provide a regulatory review of each endorsed award recommendation prior to its submission to the designated approving official for consideration, authorize payment of approved awards, and prepare the awards for presentation, except those based on cost-savings disclosure to the Inspector General.
- (2) Document approved awards in the OPF, maintain program records, and prepare and submit reports to the Office of Personnel, as required.
- (3) Provide incentive awards orientation for new employees at all levels. The orientation is to include an explanation of Departmental and local awards policy and the purpose, scope, and eligibility requirements for incentive awards.
- (4) Provide training for supervisors and managers, explain their role in encouraging the achievement of maximum individual and organizational productivity and the recognition of employee contributions thereto.

- (5) Submit to the Director of Administrative Services by 9-1 of each year a written estimate of awards paraphernalia needed during each quarter of the next fiscal year, as well as the titles of the designated requisitioning officials and alternate(s). During the year, the estimate may be amended in advance as needed to reflect changing needs.
 - (a) The yearly estimate of and quarterly requisitions for medals, rosettes, plaques, and career service emblems is submitted through the Recruitment and Staffing Policy Branch (AD-532).
 - (b) The quarterly and yearly estimates of award certificates are submitted to the Administrative Officer, Office of Personnel (AD-50), in accordance with DOE 1322.2B, FORMS MANAGEMENT. This is to ensure that AD-50 is aware of anticipated usage.

o. Director of Civil Rights (AD-40).

- (1) Concurs in each nomination for an honorary, monetary, or nonmonetary award which originates outside the Office of Civil Rights, unless otherwise authorized, and which is based in whole or in part on contributions to the Departmental Equal Employment Opportunity Program by persons or organizations without specific responsibilities for equal employment opportunity in the Federal Government.
- (2) Initiates nominations for appropriate honorary, monetary, or nonmonetary awards for persons or organizations who, through specific responsibilities for equal employment opportunity in the Federal Government or through public service, have contributed to the goals and objectives of the Department's Equal Employment Opportunity Program. The nominations are referred through appropriate supervisory channels and the servicing personnel office for consideration by the designated approving official.

2. TRAINING. Equal opportunity for each employee to earn awards is provided by:

- a. Employee orientation on how incentive awards may be earned; and
- b. Training for supervisors and managers on the effective use of the incentive awards program to improve individual and organizational performance.

3. RECORDS MAINTENANCE AND FORMS.

- a. GENERAL. The employee contribution must be described and approved in writing before an incentive award may be granted.

- (1) Documentation of a pending award nomination is privileged information and is made available only to persons involved in the decision process and certain other officials on a need-to-know basis. Initiation of a nomination is not tantamount to its approval; therefore, supervisors, management officials, and the servicing personnel office shall not discuss an award nomination with the nominee until after it has been approved by the authorizing official.
 - (2) Each servicing personnel office is to maintain records of employee contributions and awards granted for purposes of:
 - (a) Providing required reports to the OPM; and
 - (b) Evaluating the utilization of the program and its effectiveness in improving mission accomplishment.
 - (3) The written documentation, when required by this Order or local requirements, and/or the employee's rating of record, when appropriate, must be accompanied by a completed DOE F 3450.3. A copy of the form with original authorizing signatures is retained as a temporary document in the employee's OPF for as long as the employee is employed with the Department. The DOE F 3450.3, is used to generate the SF-50, "Notification of Personnel Action," which is required for all monetary awards. A copy of the DOE F 3450.3, written justification, and the SF-50, as appropriate, must be provided to the employee.
 - (4) Each servicing personnel office submits to the Director of Personnel an annual report on program activities during the past fiscal year and a statement of major program goals, objectives, and resources for the next year. This report is submitted on OPM Form 1465, "Incentive Awards Program Annual Report."
- b. Awards Program Forms. The following is a list of forms and some of the paraphernalia used in administering this program:
- (1) DOE F 3450.1, "Employee Suggestion" (Attachment I-1).
 - (2) DOE F 3450.2, "Evaluation of Employee Suggestion Invention, Adoption, and Approval of Award" (Attachment I-2).
 - (3) DOE F 3450.3, "Nomination for Incentive Award" (Attachment I-3).
 - (4) DOE F 3450.4, "Monetary Award for Special Act or Service" (see page V-2, paragraph 4a(1)).

- (5) DOE F 3450.5, "Monetary Award for Superior Job Performance" (see page VI-5, paragraph 6).
- (6) DOE F 3450.6, "Monetary Award for Adopted Suggestion" (see page V-6, paragraph 4(b)(2)(e)).
- (7) DOE F 3450.7, "Invention Award" (see page V-8, paragraph 4C).
- (8) DOE F 3450 series, "Certificate of Service" (see page IV-2, paragraph 4e).
- (9) DOE F 3450.10, "Certificate of Appreciation" (see page III-4, paragraph 2c).

c. Requisitioning Supplies. Awards supplies may be requisitioned as follow:

- (1) At Headquarters, DOE F 3450.1, DOE F 3450.2, and DOE F 3450.3 may be obtained from the supply rooms. In the field, the forms should be ordered through channels outlined in DOE 1322.2B.
- (2) At Headquarters, all awards paraphernalia, plaques, medals, and holders may be ordered by submitting DOE F 4250.2, "Requisition for Supplies, Equipment, or Service," through the Administrative Officer, Office of Personnel (AD-50), to the Director of Administrative Services; a copy must be provided to the Recruitment and Staffing Policy Branch by 1-1, 4-1, 7-1, and 10-1 of each year. Certificates are ordered by the aforementioned dates in accordance with DOE 1322.2B.
- (3) Field servicing personnel offices may order award certificates by submitting DOE F 4250.2 in accordance with DOE 1322.2B. Frames, mats, and presentation folders, should be purchased locally. Requisitions should be submitted by b.
- (4) Field servicing personnel offices may order career service emblems the Distinguished Career Service Award plaques and Exceptional Service Award medals, rosettes, plaques, and presentation boxes by submitting DOE F 4250.2 through the Recruitment and Staffing Policy Branch (AD-532) to the Director of Administrative Services. Requisitions should be submitted by 1-1, 4-1, 7-1, and 10-1 of each year.
- (5) In the event that the quarterly requisitions exceed the annual estimate, as amended, (see page I-8, paragraph 1n(5)), the requisition will not be honored.

4. TIME LIMITS FOR EVALUATION AND APPROVAL OF INCENTIVE AWARDS. These time limits are intended to achieve prompt recognition of and adoption of employee suggestions, including interagency referrals.
 - a. Evaluation and Action on Performance Awards, Suggestions, or Other Superior Accomplishments, Excluding Special Acts or Service.

Performance awards, suggestions, or other superior accomplishments normally are processed by the servicing Personnel office within 30 days for cases that can be approved locally, 60 days when they require higher level approval, or 90 days when they require review or approval by the Director of Personnel, the ARB, or the EPB. The time periods are computed from the date of receipt of the suggestion or other superior accomplishments in the employee's servicing personnel office or the initial date of signature recommending a performance award, as appropriate, to date of approval or disapproval. The time period for evaluating a suggestion or other superior accomplishment referred from another agency is computed from the date of receipt in DOE to the date of Departmental approval or disapproval. The time for processing a suggestion may be extended by the employee's servicing personnel office for good cause, such as providing a trial period for evaluating the suggestion.
 - b. Special Act or Service Awards. Special Act or Service Awards are to be initiated and, if appropriate, approved as soon as possible after the significance of the accomplishment has been determined.
 - c. Presentation of Awards. Approved awards are to be presented promptly at a ceremony scheduled in accordance with the information in paragraph 5 below.
5. AWARD CEREMONIES.
 - a. Annual Ceremony. A Departmental award ceremony is to be held annually. The following types of awards are normally presented at the annual ceremony: the Secretary's Award, Award for Valor, and Meritorious Service Award. Travel expenses necessary for the presentation of the awards are paid by the parent organization.
 - b. Other Regular Ceremonies. Ceremonies are to be arranged by the Heads of Departmental Elements for the purpose of presenting the following types of recognition: Exceptional Service Award, Career Service emblems, and any other types of awards that may have been approved for local presentation. The ceremony may be held annually or at other appropriate, regularly scheduled intervals and also may include appropriate recognition of employees who received other honorary, superior accomplishment or performance awards, SES bonuses, Presidential ranks, or external awards since the preceding ceremony.

- c. Special Ceremonies. On special occasions, such as retirement or other separations from the Department, an award may be presented at a ceremony arranged for the specific occasion by the supervisor or manager.
- d. Publicity. Inasmuch as incentive awards are intended not only to recognize past employee contributions but also to encourage future contributions by all Government employees, award ceremonies should be accompanied by appropriate publicity within DOE and the community. The publicity should include the reason(s) for granting each award, i.e., the achievements for which recipients are being honored.

6. APPROVAL OF MONETARY AWARD.

- a. The maximum monetary award for an adopted suggestion, invention, or other superior accomplishment is \$25,000, which must be approved by the OPM. If a suggestion, invention, or other superior accomplishment appears to deserve recognition beyond \$25,000, an additional award of up to \$10,000, for a maximum total award of \$35,000, may be approved by the President.
- b. The maximum agency award for disclosure to the Inspector General of fraud, waste, or mismanagement is \$10,000, which must be approved by the Inspector General. If the disclosure appears to deserve recognition beyond \$10,000, an additional award of up to \$20,000, for a maximum total award of \$30,000, may be approved by the President.
- c. See Chapters V, VI, and VIII, for additional information on monetary awards.

7. GRIEVABILITY. Incentive awards are discretionary actions. Grievance procedures do not apply to the granting of, or failure to grant, an award to an employee under this Order.

EMPLOYEE SUGGESTION

DOE F 3450.1 (6-82)		U.S. DEPARTMENT OF ENERGY EMPLOYEE SUGGESTION		FOR USE BY SERVICING PERSONNEL OFFICE SUGGESTION NO.: HQ-87-01 DATE RECEIVED: 7-15-87	
INSTRUCTIONS: Read the reverse side before preparing your suggestion. Use typewriter to complete form. Submit original and one copy to your servicing personnel office. Retain one copy for your file.					
1. Name of Suggester (Complete payroll name) Mary B. DOE			2. Title and Grade Administrative Officer, GS-11		
3. Organization (DIV-BR-SEC) Weatherization Assistance Division Programs Operations Branch, (CE-25)			4. Name and Title of Supervisor John C. Roe, Chief of Programs Operations		
5. Building and Room No. Forrestal Building Room GA-093		6. Title of Suggestion Request and approval procedure for advanced in-hiring rates			
7. Describe the present situation, condition, or activity which you believe should be changed or improved. (Use plain paper for continuation sheet, if necessary.) The present system for approving advanced in-hiring rates requires----- This procedure is disadvantageous to the DOE because----- It is estimated that there are --- cases of this type each year, each case involving an average of --- manhours at \$--- per hour in labor estimated total annual cost is \$---.					
8. Describe your suggestion or invention in detail. Give specific data on tangible and intangible benefits to the Government resulting from manpower or material savings, improved methods, work simplification, accident prevention, or other improvement. (Use plain paper for continuation sheet, if necessary.) In order to reduce the costs to the Department for labor and materials, it is suggested that----- It is estimated that the average cost of processing --- request would be \$--- for labor (--- manhours at \$--- per hour) and \$--- for materials. This suggestion has the additional advantages of-----					
9. I understand that this suggestion or invention will be awarded only if adopted by the Government either by written notification or through practical application of the suggestion within two years of the date of final action on the suggestion. I hereby agree that the use of this suggestion or invention by the United States shall not form the basis of a further claim of any nature upon the United States by me, my heirs, or assigns.					
7-14-87 DATE		<i>Mary B. Doe</i> SIGNATURE OF SUGGESTER		--- SIGNATURE OF COSUGGESTER, IF ANY	
				--- DATE	
(Tear along this line)					
ACKNOWLEDGEMENT OF SUGGESTION					
THANK YOU for your suggestion received on 7-15-87 It will be carefully considered by those who have functional responsibility in the area of your suggestion, and you will be advised of the action taken. Your interest in improving Governmental operations is appreciated.					
(SUGGESTER, please type your name, room number, and building below)					
TO: Mary B. Doe CE 25 Forrestal Building, Room GA-093			<i>John C. Roe</i> SIGNATURE (Servicing Personnel Office)		
			7-19-87 DATE		
			Refer to Suggestion No. HQ-87-01		

EXHIBITS MAY BE
ATTACHED IN ORDER
TO CLARIFY SPECIFIC
NATURE OF THE IDEA

TO BE COMPLETED AND
RETURNED TO SUGGESTER

READ THIS INFORMATION BEFORE PREPARING YOUR SUGGESTION

A suggestion is a constructive idea which, when submitted in writing by one or more employees and adopted by management, directly contributes to the economy, efficiency, or increased effectiveness of Government operations or achieves a significant reduction in paperwork. A suggestion usually consists of two parts: (1) the identification of an existing problem, and (2) the proposed method for solving the problem.

The following types of ideas, however, are NOT eligible for consideration under the employee suggestion program:

1. Ideas which are normally WITHIN the employee's regularly assigned duties, responsibilities, and performance standards.
2. Ideas which call attention to the need for routine maintenance or repair work unless they result in tangible benefits to the Government.
3. Ideas which merely call attention to a problem and offer no practical solution.
4. Ideas of which the processing costs would clearly exceed any benefits which might result.
5. Ideas which suggest minor improvements in working conditions that ordinarily can be corrected through normal or customary action.
6. Ideas related to normal safety procedures.
7. Ideas related to services and benefits to employees such as vending machines, cafeteria services, etc., unless they result in tangible benefits to the Government.

.....

EMPLOYEE RIGHTS

1. An employee who submits a written suggestion under the provisions of the Departmental order on incentive awards has the right to receive a prompt, objective, and fair evaluation of the idea and, if it is adopted either through written notification or practical application, to be considered for an award.
2. The suggester retains the right to be considered for an award for 2 years after the date of final action on the suggestion. If the suggester wishes to resubmit the suggestion with new information to support its benefits, he or she may do so, thus extending the award eligibility period.

DEPARTMENTAL OBLIGATIONS

1. The obligation of the Department under the suggestion program is to: (a) give due consideration to a suggestion, and (b) if it is adopted, consider granting an award. The Department must make a prompt, objective, and fair evaluation of the suggestion and its value and usefulness to the Department.
2. Ideas solicited through management channels other than the Departmental suggestion program should be linked to the suggestion system to ensure that the Department meets its obligation to protect the employee rights set forth above.

**EVALUATION OF EMPLOYEE SUGGESTION/INVENTION,
ADOPTION, AND APPROVAL OF AWARD**

DOE F 3450.2
(6-87)

**U.S. DEPARTMENT OF ENERGY
EVALUATION OF EMPLOYEE SUGGESTION/INVENTION,
ADOPTION, AND APPROVAL OF AWARD**

TO BE COMPLETED BY
EVALUATOR IF BLANK
WHEN RECEIVED

EVALUATION OF IDEA <small>(Use plain paper for continuation sheet if needed)</small>				REFERENCE DATA	
1. Sponsoring Personnel Office Classification and Staffing Div. (AD-53)		2. Name of Evaluator: Mary B. Smith		Suggestion No. HQ-87-01	
3. Organization (Include symbol) Recruitment and Staffing Policy Branch (AD-532)		4. Building/Room No.: Forrestal Building Room 4F-051		Date Received 7-15-87	Organization CE-35
				Evaluator or Inceptor (Complete Payroll Name) Mary B. Doe	
5. <input type="checkbox"/> Employee idea is applicable to the organization. <input checked="" type="checkbox"/> Suggested benefits are summarized as follows: SUMMARY OF EXPECTED BENEFITS <small>(Attach justification or explanation. For tangible benefits, attach detailed computations to justify summary figures. For intangible benefits, attach value and scope of application. See DOE 3450.1 for definition of terms.)</small>					
TANGIBLE <small>(Estimated net monetary benefits for first full year of operation after implementation)</small>				INTANGIBLE	
COSTS		FORMER METHOD	IMPROVED METHOD	VALUE	SCOPE OF APPLICATION
LABOR	\$ 4,894.75	\$ 4,125.11	\$ 769.58	Not applicable MODERATE SUBSTANTIAL HIGH EXCEPTIONAL	LIMITED EXTENDED BROAD GENERAL
MATERIALS	784.39		168.14		
TOTAL	\$ 5,679.14		\$ 937.72		
6. Is the idea within the supervisor's job responsibilities on the consideration of his or her position description, assigned duties, position performance standards, and the scope of application of the idea? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>[Signature]</i> Signature of Supervisor's Supervisor					
7. <input checked="" type="checkbox"/> Recommend Adoption in Whole <u>6-1-87</u> <input type="checkbox"/> Recommend Adoption in Part only (Specify) _____ Date <input type="checkbox"/> Merits consideration by other offices (Specify) _____ Reason <input type="checkbox"/> Recommend Adoption for Limited Period (Specify) _____ Reason <input type="checkbox"/> Recommend Non Adoption Reason					
8. Subject matter of idea is outside of my responsibility and should be referred to: <input type="checkbox"/> DOE Office (Specify) _____ <input type="checkbox"/> Other Government agency (Specify) _____ Reason: Not applicable.					
AWARD RECOMMENDATION (Based on DOE Monetary Award Scale)					
9. Award Based on Tangible Benefits: \$93.77		10. Award Based on Intangible Benefits: -		11. Total Monetary Award: \$93.77	
12. Award exceeds amount authorized by DOE award scale? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, deviation from DOE award scale is recommended for following reasons:					
13. Recommended division of gross cash award: Not applicable.					
14. Proposed wording for certificate to accompany award (Use more than 4 or 8 lines if not applicable to present award): In recognition of her suggestion that _____ Adoption of this suggestion resulted in tangible savings to the Department of \$938.					
15. Signature of Evaluator: <i>Mary B. Smith</i>		16. Title of Evaluator: Chief of Recruitment and Staffing Policy (AD-532)		17. Date: 8-9-87	

Items 1 through 23 and items 30 through 36 must be completed before submission to the servicing personnel office

Award is paid by CE because the amount is less than \$500

APPROVAL OF ADOPTION (To be completed by an official who is at a higher organizational level than the evaluator. The servicing official must have functional authority for the subject of the suggestion.)		
<input checked="" type="checkbox"/> Adoption approved in whole or in part and will be implemented on _____ <input type="checkbox"/> Adoption disapproved		
19. Title Director of Personnel	20. Organization (Include symbol) Office of Personnel (AD-50)	
21. Signature <i>John C. Doe</i>	22. Date 8-19-87	23. Telephone 886-5610
SERVICING PERSONNEL OFFICE		
24. E. Secondary and regulatory review is satisfactory. <input type="checkbox"/> Other (Specify):		
25. Name and title Kim M. Smith Director of Classification and Stfg.	26. Organization (Include symbol) Classification and Staffing Division (AD-53)	
27. Signature <i>Kim M. Smith</i>	28. Date 8-20-87	29. Telephone No. 886-8536
APPROVAL OF MONETARY AWARD The monetary award recommended meets the Departmental requirements for incentive awards and sufficient funds are available. Monetary award is, approved as follows:		
30. Base or Target Benefit \$95.00	31. Base or Target Benefit \$95.00	32. Total Award Approved \$95.00
33. Award No. XXXXXX	34. Award No. XXXXXX	35. Appropriation No. 89x0215.91
36. Distribution of Award (Use special services award if the amount is over \$500)		
Complete Payroll Name	Social Security No.	Amount
Mary B. Doe	123-45-6789	\$95.00
Funds available.		
AS/CE (CE-1)		
37. Official authorized by DOE 3450.1 (Name and Title) John C. Doe Director	38. Organization (Include symbol) Administration and Human Resource Management (AD-1)	
39. Signature <i>John C. Doe</i>	40. Date 9-2-87	41. Telephone No. 886-5940
SERVICING PERSONNEL OFFICE		
42. E. Payment of Monetary Award is authorized. <input type="checkbox"/> Other (Specify):		
43. Name and Title Kim M. Smith Director of Classification and Stfg.	44. Organization (Include symbol) Classification and Staffing Division (AD-53)	
45. Signature <i>Kim M. Smith</i>	46. Date 9-3-87	47. Telephone No. 886-8536

DOE F 3450.3				
U.S. DEPARTMENT OF ENERGY NOMINATION FOR INCENTIVE AWARD (Use typewriter to complete form. Submit original and 3 copies.)				
1. Employee (Complete Payroll Name): Kim M. Doe		2. SOCIAL SECURITY NUMBER 123-43-6789	3. Effective Date in Present Position 06-15-80	4. Period of Service on which Nomination is Based 8/7/86 - 9/30/87
5. Type of Award for which Nominating: <input type="checkbox"/> Merit Award for Special Act or Service <input checked="" type="checkbox"/> Monetary Award for Performance. \$ 500		6. Dates and Types of Awards (including those granted under SES or Merit Pay regulations) and Quality Step Increases Received in Preceding 5 Years: QSI 1986		
7. ORGANIZATION	8. TITLE	9. POSITION NUMBER	10. SERIES, GRADE, AND SALARY	
Present Same	Same	Same	Same	
Covered By Nomination	CH, Admin. Services Div., Property Management Branch	Clerk-Typist	23456789	GS-322-3/4 \$11,258 pa
CERTIFICATION				
The position description of the nominee and the performance standards for the position were thoroughly reviewed before submitting this nomination. I certify that the performance of the nominee has been appraised and meets the criteria for the award recommended. Therefore, I nominate the employee for an award as indicated in item 5 above.				
11. Initiator: Helen L. Swanson		12. Title: Chief		
13. Signature: <i>Helen L. Swanson</i>		14. Organization: Property Management Branch(ASO)		15. Date: 8-14-87
16. Immediate Supervisor: Yonne J. Stevens		17. Title: Director		
18. Signature: <i>Yonne J. Stevens</i>		19. Organization: Administrative Services Div. (ASO)		20. Date: 9-3-87
21. Reviewing Official: John C. Coe		22. Title: Assistant Manager for Administration		
23. Signature: <i>John C. Coe</i>		24. Organization: AMA		25. Date: 10-2-87
26. Reviewing Official: Alice H. Coleman		27. Title: Principal Deputy Asst. Mgr. for Administration		
28. Signature: <i>Alice H. Coleman</i>		29. Organization: AMA		30. Date: 10-6-87
SERVICES PERSONNEL OFFICE				
31. <input checked="" type="checkbox"/> Nomination complies with current rules and regulations. <input type="checkbox"/> Nomination does NOT comply with current rules and regulations (see attached explanation). <input type="checkbox"/> Other, specify:				
32. Title of Authorized Official: Chief of Federal Personnel (OP)		33. Signature: <i>John O. Stone</i>		34. Date: 10-10-87
APPROVAL				
The following award meets the Departmental requirements and is hereby approved:				
Sufficient funds are available. The award is to be paid in the following amounts: (The total of the following amounts must equal the total award indicated in item 35.)	35. Total Monetary Award: \$ 500	36. Based on Tangible Benefits: \$	Based on Intangible Benefits: \$	37. Based on Job Performance: \$500
	38. Allotment Number: CH39-91	39. Budget and Reporting Number: WA1201000		40. Appropriation Number: 89x0228.91
41. Title of Official Authorized by DOE 3450.1A Manager, DOE Chicago Field Office		42. Signature: <i>John O. Stone</i>		43. Date: 10-20-87
44. <input type="checkbox"/> Payment of monetary award is authorized. <input type="checkbox"/> Other, specify:				
45. Title of Authorized Official: Director of Organization and Personnel (OP)		46. Signature: <i>David Cole</i>		47. Date: 10-27-87

ADDITIONAL INFORMATION

1. Distribution of copies of nomination:

Original and three copies to servicing personnel office (including copies for employee and official personnel folder, if approved). Additional copies for initiator, reviewing officials, and approving official as desired.

- 2. If the nomination is for a group award, state the name of the group in item 1. State the complete payroll name, social security number, organization, position title and number, grade, salary, and previous recognition of each member of the group and the recommended division of a monetary award, if any, in the justification.**
- 3. The employee's most recent performance rating (DOE F 3430.7 or DOE F 3430.7B as appropriate) must be attached to support this award recommendation as required by DOE 3450.1A.**
- 4. Compute a monetary award based on performance in accordance with DOE 3450.1A and local requirements.**
- 5. To compute a monetary award based on a contribution of a one-time nonrecurring nature in accordance with DOE 3450.1A, provide the following information including detailed computations to support the figures in paragraph a(1) or a narrative explanation of the information required by paragraph a(2) below.**
 - a. Kind of benefit.**
 - (1) Tangible benefits (estimated net monetary savings to the Department for first full year of operation after implementation):**
 - State labor cost, materials cost, and total cost of former method.
 - State labor cost, materials cost, and total cost of improved method.
 - State labor cost, materials cost, and total cost saved.
 - (2) Intangible benefits:**
 - State whether value of the contribution is moderate, substantial, high, or exceptional; and explain.
 - State whether application of the contribution is limited, extended, broad, or general; and explain.
 - b. Deviation from award scale(s). If a monetary award based on a contribution of a one-time, nonrecurring nature exceeds the amount authorized by DOE 3450.1A, justify the deviation.**
- 6. Give the proposed wording to be used in preparing an honorary or nonmonetary award or a certificate to accompany a monetary award. Use lower case; do not exceed four or five lines.**
- 7. Do NOT use this form for recommending a quality step increase, or performance awards for PMRS employees.**

CHAPTER II

PRESIDENTIAL RECOGNITION

1. General. A monetary or honorary award granted by the President may be granted in addition to an incentive award by an agency.
2. PRESIDENT'S AWARD FOR DISTINGUISHED FEDERAL CIVILIAN SERVICE.
 - a. Basis.
 - (1) The award is the highest honor that the Federal Government can grant for exceptional achievements that are of unusual benefit to the Nation.
 - (2) The award may be presented for the best achievements having current impact on improving Government operations or serving the public interest. These achievements must exemplify one or more of the following: (a) imagination in developing creative solutions to problems in Government; (b) courage in persevering against great odds and difficulties; (c) high ability in accomplishing extraordinary scientific or technological achievement, in providing outstanding leadership, in planning, organizing, or directing a major program of unusual importance and complexity, or in performing an extraordinary act of credit to the Government and the country; or (d) long and distinguished career service.
 - (3) The importance of the achievements to the Government and to the public interest must be so outstanding that the employee is deserving of greater public recognition than that which can be granted by the head of the agency in which he or she is employed.
 - b. Eligibility. Consideration for this award should be extended to employees at all grade levels; however, a person appointed by the President or a noncareer member of the SES may be nominated only if his or her work might be considered to be within the Federal career service. The Secretary may also nominate a career employee of another Agency when he or she has knowledge of the exceptional achievements of that employee.
 - c. Submission of Nomination.
 - (1) The prescribed format for nominations will be provided upon request. Nominations require the personal endorsement of the Head of the Departmental Element and must be submitted through the organization's servicing personnel office to the Recruitment and Staffing Policy Branch (AD-532).

- (2) Completed nominations are reviewed by the ARB or EPB as appropriate, and, if endorsed by the Secretary, are transmitted to the President for approval and presentation. There is no limitation on the number of nominations that can be submitted.
- d. Award. The award consists of a gold medal, a citation signed by the President, and a lapel rosette. Five awards normally are granted each year.
- e. Publicity. No information is to be released on the nominations for the award. After the President has granted the awards, departments and agencies are urged to give the widest possible publicity to the recipients.

3. PRESIDENTIAL MANAGEMENT IMPROVEMENT AWARD.

- a. Administration. The program is administered cooperatively by the OPM and the Office of Management and Budget.
- b. Basis. The award is given for the best and most prestigious contributions throughout the Government which resulted in substantial tangible benefits valued at \$250,000 or more to the Government.
- c. Eligibility. Any Federal employee (civilian or military) small work group, or team achievement may be nominated, provided that the contribution meets the criterion in paragraph 3b above.
- d. Submission of Nomination.
 - (1) Nominations are prepared in the prescribed format, normally in September of each year. The prescribed format is set forth in the annual nomination reminder of Presidential and external awards. The nomination requires the personal endorsement of the Head of a Departmental Element and is submitted through the organization's servicing personnel office to the Recruitment and Staffing Policy Branch (AD-532) .
 - (2) Proposed nominations are reviewed by the ARB or EPB as appropriate, and forwarded to the Secretary who determines whether or not to transmit them to OPM. There is no limitation on the number of nominations that can be submitted.
- e. Award. The award consists of a plaque, which is presented at a White House ceremony early in the year. Five to ten awards normally are granted each year. In addition, certificates are forwarded for presentation to finalists at appropriate Departmental ceremonies.

4. PRESIDENTIAL LETTERS OF COMMENDATION.

- a. Administration. The program is administered cooperatively by the OPM and the Office of Management and Budget.
- b. Basis. A commendation letter is given for a contribution (adopted suggestion, invention, or other superior accomplishment) which is beyond job requirements and which results in tangible benefits to the Government valued at \$250,000 or more.
- c. Eligibility. Any Federal employee (civilian or military), small work group, or team achievement, may be nominated provided that the contribution meets the criterion in paragraph 4b above and the contribution was recognized by the awarding of a Departmental incentive award, except for military personnel whose performance contributions are not eligible for Departmental awards.
- d. Submission of Nomination.
 - (1) A proposed nomination should be initiated automatically whenever an approved Departmental incentive award meets the criteria in paragraph 4b above. Each proposed nomination is to be prepared in the format set forth in Attachment II-1 and transmitted with the personal endorsement of the Head of the Departmental Element; nominations must be submitted through the organization's servicing personnel office to the Recruitment and Staffing Policy Branch (AD-532).
 - (2) Departmental nominations are reviewed by the ARB or EPB as appropriate, and forwarded for consideration by the Secretary who determines whether or not to transmit them to OPM. There is no limitation on the number of nominations that can be submitted.
- e. Award. A Presidential commendation letter is presented by a designated Department official as soon as possible after it is received from the White House and appropriate presentation arrangements can be made. The ceremony should be in keeping with the dignity and importance of the recognition and reflect the President's interest in and appreciation of employee achievements that support his or her efforts to improve Government operations and the delivery of services to the public.

5. PRESIDENTIAL RANKS.

- a. Basis. Presidential ranks and stipends are based on high caliber accomplishment sustained over a minimum period prescribed by OPM. The rank of Distinguished Executive is based on sustained extraordinary accomplishment, and the rank of Meritorious Executive is based on sustained accomplishment.

- b. Eligibility Requirement and Nominating Procedures. Eligibility for Distinguished Executive Rank and Meritorious Executive Rank awards is restricted to career members of the Senior Executive Service and to career members who have accepted Presidential appointments requiring, Senate confirmation and who elected to retain Senior Executive Service rank eligibility. More specific information is included in the annual nomination reminder issued by the Office of Personnel.
- c. Award.
- (1) The Distinguished Executive Rank includes a lump sum payment of \$20,000, and the Meritorious Executive Rank includes a lump sum payment of \$10,000. Each rank is accompanied by a certificate and a distinctive pin.
 - (2) Recipients of either Meritorious Executive or Distinguished Executive rank awards are not eligible for the same award during the following 4 fiscal years. Stipends paid by the employing agency are in addition to basic pay or any award granted under section 5384 of title 5, United States Code. The aggregate of an executive's base pay, bonus, and stipend received in any one fiscal year may not exceed the annual payable rate for Level I of the Executive Schedule, but surplus award amounts are payable to the awardee in the succeeding fiscal year. Surplus award amounts are counted toward the executive's aggregate amount for the fiscal year in which the surplus is paid.

NOMINATION FORMAT FOR PRESIDENTIAL LETTER OF COMMENDATION

MEMORANDUM FOR THE PRESIDENT

SUBJECT: Presidential Recognition Program

I request that a Presidential Letter of Commendation be granted to the following employee(s) of this Department:

Name(s) - surname, first, middle initial. For civilian personnel indicate whether Mr., Mrs., or Ms.

Title - civilian position title or military rank.

Grade:

Organization:

Location - Mailing address:

Provide a brief description of the employee's contribution.

Indicate the type of recognition granted by DOE, including the amount of monetary award (if any).

If it is a group or team achievement, include the name of each group member and indicate who is the leader.

If the nominee(s) previously received a Presidential letter(s) under this award program, please indicate when such recognition was granted.

Clearly mark the envelope ATTENTION: PRESIDENTIAL RECOGNITION PROGRAM

Secretary

Attachment(s) (backup material)

**AWARD SCALE FOR INTANGIBLE BENEFITS
(FROM SUGGESTIONS, INVENTIONS, AND SPECIAL ACTS OR SERVICES)**

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
	Affects functions, mission, or personnel of one office, facility, installation, or an organizational element of a Headquarters. Affects a small area of science or technology.	Affects functions, mission, or personnel of several offices, facilities, or installations. 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. Affects a broad area of science or technology.	Affects functions, mission, or personnel of several regional areas or commands or an entire department or large independent agency, or is in the public interest throughout the Nation or beyond.
MODERATE VALUE - Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award, an improvement of rather limited value of a product, activity, program, or service to the public.	\$50-\$120 (compare w/\$600-\$1,200 tangible benefits)	\$120-\$300 (compare w/\$3,000-\$6,000 tangible benefits)	\$300-\$600 (compare w/\$12,000-\$12,000 tangible benefits)	\$600-\$1,200 (compare w/\$32,000-\$32,000 tangible benefits)
SUBSTANTIAL VALUE - Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.	\$120-\$300 (compare w/\$1,200-\$3,000 tangible benefits)	\$300-\$600 (compare w/\$3,000-\$6,000 tangible benefits)	\$600-\$1,200 (compare w/\$12,000-\$12,000 tangible benefits)	\$1,200-\$3,000 (compare w/\$32,000-\$32,000 tangible benefits)
HIGH VALUE - Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, or program, or service to the public.	\$300-\$600 (compare w/\$3,000-\$6,000 tangible benefits)	\$600-\$1,200 (compare w/\$12,000-\$12,000 tangible benefits)	\$1,200-\$3,000 (compare w/\$12,000-\$12,000 tangible benefits)	\$3,000-\$6,000 (compare w/\$32,000-\$32,000 tangible benefits)
EXCEPTIONAL VALUE - Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$600-\$1,200 (compare w/\$12,000-\$12,000 tangible benefits)	\$1,200-\$3,000 (compare w/\$12,000-\$12,000 tangible benefits)	\$3,000-\$6,000 (compare w/\$12,000-\$12,000 tangible benefits)	\$6,000-\$12,000 (compare w/\$32,000-\$32,000 tangible benefits)

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

CHAPTER VI

THE PERFORMANCE MANAGEMENT SYSTEM PERFORMANCE AWARDS

1. BASIS.

- a. Performance awards are an integral part of the Performance Management System and provide a vital tool for improving individual and organizational effectiveness through recognizing and rewarding high-level performance.
- b. Performance awards are generally based on performance for 1 full year. It may be appropriate to reduce awards granted for lesser periods in accordance with criteria on page VI-5, paragraph 5e.
- c. Performance awards are based on the employee's rating of record, rendered in accordance with the requirements of DOE 3430.3A, for the current appraisal period.
- d. Award nominations under this chapter are to be initiated no later than 60 days after the official date of the rating of record on which the award is based. Local directives may specify exceptions and the circumstances under which these exceptions will apply, if this 60-day requirement is not met.

2. EMPLOYEE COVERAGE AND EXCEPTIONS.

- a. This chapter applies to all paid employees within the Department, except the following:
 - (1) Employees covered by the SES performance appraisal system;
 - (2) Employees covered by the Performance Management and Recognition System;
 - (3) Employees outside the United States who are paid in accordance with local prevailing wage rates;
 - (4) Administrative law judges appointed under 5 U.S.C. 3105;
 - (5) Presidential appointees;
 - (6) Experts and consultants;
 - (7) Positions filled by noncareer executive assignments under 5 U.S.C. 3105;
 - (8) Excepted Service positions for which employment is not reasonably expected to exceed 120 days in a consecutive 12-month period; and

(9) Members of the Board of Contract Appeals.

- b. Any exclusions from the Departmental performance appraisal system which are approved by OPM are automatically excepted from this chapter.

3. ELIGIBILITY.

- a. Performance awards are granted on the basis of the summary rating level, in accordance with page VI-3, paragraph 5, and local written instructions.
- b. Employees may not be granted monetary performance awards for the same contribution which was recognized by another type of award or by a quality step increase.
- c. Employees may be granted a performance award for a chronological period that was substantially occupied by a period of detail to the extent that the period covered by the detail is included in the rating of record.
- d. Employees are not eligible for a performance award upon retirement or when they otherwise are separated prior to the date when a rating of record would otherwise have been rendered for the performance period. (See DOE 3430.3A, chapter I, paragraph 7.)
- e. An employee who is reassigned within DOE or who transfers to another agency within 60 days after the date of the current rating of record should be given the same consideration for awards as employees who continue to serve in the rating organization, so long as all requirements for the award were met prior to the employee leaving the organization.

4. RECOMMENDING AND APPROVING OFFICIALS.

- a. Performance awards are initiated at the discretion of the rating official. A copy of the rating of record is the minimum required justification. Additional justification is required to explain the basis for recommendations for awards above 10 percent, or when prorating or using variable scales.
- b. If the rating official is not available, the award may be initiated by an official at a higher level in a direct line of supervision.
- c. The award must be reviewed and approved by an official who has authority to approve awards of the particular monetary value recommended and who is at a higher management level than the initiating official.

- d. Only the Secretary of Energy has the authority to both initiate and approve performance awards for employees under his or her immediate supervision, or under the circumstances described on page VI -2, paragraph 4b.
- e. All performance award determinations shall be made in conjunction with the official responsible for making the performance appraisal decision and the official responsible for managing the performance award budget for the organization.

5. **DETERMINING AWARD SCALES/METHODS.**

- a. **General.** Each Departmental Element must establish an award scale/method to be used in determining the amount of all PMS performance awards granted for the same performance cycle. Scales/methods may be uniform or variable, and they may be expressed as a percentage of annual salary or as dollar amounts (see page VI -4, paragraphs 5c and d. If a percentage scale/method is used, the award is calculated on the payable salary in effect on the last day of the performance appraisal period and awards for employees with higher ratings must be a larger percentage or dollar amount of salary than awards for employees with lower ratings, except as discussed on page VI -4, paragraph 5d. If a dollar scale/method is used, awards for employees with higher ratings must exceed (in dollar amount) awards for employees in the same grade who have lower ratings. Organizations with staggered performance appraisal cycles need to remember that careful control of their awards scale/method is necessary to ensure consistency of awards granted throughout the fiscal year in accordance with this requirement. Performance awards should be granted primarily to employees whose overall performance is rated at the "Outstanding" or "Highly Successful" level. It is not mandatory that any employee be granted a performance award, but organizations must develop a consistent program for consideration of employees within the organization.
- b. **Application of Performance Ratings to Scales/Methods.**
 - (1) **Awards for "Outstanding" Performance** Employees who are rated "Outstanding" should normally be granted a performance award that equals at least 2 percent of their annual rate of basic pay and may be granted awards of up to 10 percent. In rare instances where the contribution resulted in accomplishments of critical importance to major programs or the Department's mission, the Secretary (or the Secretary's designee) may determine that a recommended larger award (not exceeding 20 percent) is warranted.

- (2) Awards for "Highly Successful" Performance. Employees rated at the "Highly Successful" level also may be considered for awards of up to 10 percent of base pay, so long as the requirements on page VI-3, paragraph 5b(1), are met within the organization.
- (3) Awards for "Fully Successful" Performance. In very exceptional cases, performance awards may be granted to employees with overall ratings of "Fully Successful," but whose performance on one or more performance elements is so exceptional, particularly in terms of its significance to DOE programs, projects, or mission accomplishment, that it deserves monetary recognition. If an organization intends to consider performance awards for "Fully Successful" employees, local directives must describe the criteria to be used and must prescribe a percentage or dollar amount that is consistent with criteria on page VI-3, paragraph 5b(1).
- c. Uniform Scales/Methods. A uniform percentage scale/method is one which uses a fixed percentage of salary to determine the dollar amount of awards for all employees with the same performance rating regardless of grade. A uniform dollar scale/method is one which provides awards of a fixed dollar amount for employees in the same grade who have the same rating.
- d. Variable Scales/Methods.
 - (1) General. Variable scales/methods provide either a range of percentages for employees with the same rating regardless of grade, or a range of dollar amounts for employees in the same grade and who have the same rating. They may be variable within fixed minimum and maximum limits (e.g., from 1 to 2.9 percent for "Highly Successful" and 3 to 6 percent for "Outstanding" ratings; or from \$250 to \$600 for GS-9'S with "Highly Successful" ratings and \$601 to \$950 for GS-9'S rated Outstanding") or they may provide fixed minimum and maximum amounts and one or more fixed intermediate amounts (for example, 1, 1.5, and 2 percent for "Highly Successful" ratings and 2.5, 3, and 3.5 percent for "Outstanding" ratings; or \$250, \$400, and \$550 for GS-9'S rated "Highly Successful" and \$600, \$750, and \$900 for GS-9'S rated "Outstanding").
 - (2) Written criteria. When a variable scale/method is adopted for use, the local directive must include written criteria for making individual award determinations. These criteria must be used by supervisors in making award recommendations, and by officials who review the recommendations. The following criteria should be used to the extent applicable:

- (a) The relative significance of the employee's overall contribution to the effectiveness of the organization and the success of its projects, programs, and mission; and
 - (b) The magnitude of the achievement in terms of the objectives met and obstacles overcome.
- e. Factors Affecting Individual Awards. The award amount or percentage determined to be appropriate shall be based on the scale/method adopted, rating level, and other requirements of this chapter. Local regulations must describe those instances when it is appropriate to reduce an award. Other factors may also be relevant; for example, whether the employee was rated for a period of time significantly less than the full appraisal period (advisory ratings are given due consideration), whether the employee received recent significant increases in base pay within the last year; and whether the employee is receiving pay retention at a rate substantially above that of other employees performing work of the same difficulty and responsibilities.
- 6. AWARD. The award consists of monetary payment and a certificate, DOE F 3450.5, signed by the designated approving official. The certificate may be presented framed and matted, in a presentation folder, or neither.

CHAPTER VII

PUBLIC SERVICE AWARDS

1. DISTINGUISHED ASSOCIATE AWARD.

- a. Basis. The award is based on outstanding individual efforts or achievements, as opposed to those by a group, and the relationship of such performance to one or more major programs, projects, or responsibilities of the Department. The nomination memorandum should explain what the individual did, how it exceeded contract requirements, and the reason(s) it is deserving of important Departmental recognition, and include a recommended citation.
- b. Eligibility. Individual employees of a Departmental contractor are eligible for the award. If collaborative effort makes individual recognition impossible, two or more persons who worked as a team may be nominated. The award is not intended to recognize committees or entire organizations.
- c. Recommending and Approving Officials.
 - (1) A nomination is normally initiated by Heads of Departmental Elements. When initiated by a manager at the next lower organizational level, the concurrence of the Head of the Departmental Element is required.
 - (2) When initiated or endorsed by the Head of a Departmental Element, the nomination is submitted to the Director of Personnel for coordination with appropriate Departmental officials, and review by the ARB for Public Service Awards, which recommends approval/disapproval by the Secretary.
- d. Award. The award is honorary, consisting of a plaque signed by the Secretary.

2. AWARD FOR EXCEPTIONAL PUBLIC SERVICE.

- a. Basic. This award is based on significant achievements in support of Departmental missions or goals. The nomination memorandum should describe the nature, scope, and enduring effect of the achievement and the reason(s) it is deserving of important Departmental recognition, and should include a recommended citation.
- b. Eligibility. A private citizen or organization, a military officer or an employee of another Federal agency, or a State or local government, or a noncitizen is eligible for this award.

c. Recommending and Approving Officials.

- (1) A nomination is normally initiated by the Head of a Departmental Element. When initiated by a supervisor or manager at a lower organizational level, the concurrence of the Head of the Departmental Element is required.
- (2) The nomination is submitted to the Director of Personnel for review by the ARB for Public Service Awards and for approval by the Secretary, or his/her designee.

- d. Award. The award is honorary, consisting of a plaque signed by the designated approving official.

3. CERTIFICATE OF APPRECIATION.

- a. Basis. This certificate may be used to recognize an achievement which recognition, but does not meet the criteria for the Distinguished Associate Award or the Award for Exceptional Public Service.
- b. Eligibility. An individual employee of a Departmental contractor, a private citizen or organization, an employee of a State or local government, or a noncitizen is eligible to receive the certificate.
- c. Recommending and Approving Officials. A nomination memorandum including the proposed citation may be initiated by any Departmental official and is submitted through normal supervisory channels and the appropriate servicing personnel office for approval by the Head of the Departmental Element in which the recommendation originated.
- d. Award. The award consists of a certificate, DOE F 3450.10, signed by designated approving official. The certificate may be presented freed and matted, in a presentation folder, or neither.

CHAPTER VIII

MONETARY AWARDS FOR COST SAVINGS DISCLOSURE TO THE INSPECTOR GENERAL

1. **BASIS.** The monetary award is based on employee disclosure to the Inspector General of fraud, waste, or mismanagement, when such disclosure results in cost savings for DOE. Consideration for an award is solely within the discretion of the Inspector General.
2. **ELIGIBILITY.**
 - a. Any employee (including members of the SES and those covered by the PMRS), or group of employees of the Government, is eligible for the award except as provided below in subparagraph b.
 - b. An employee of the Office of the Inspector General is ineligible for the award, but may be granted other appropriate incentive awards authorized by this Order.
 - c. An award may be granted under authority of this chapter in addition to any other appropriate incentive award authorized by this Order, but only to the extent that cost savings to DOE exceed the tangible or intangible benefits on which a monetary award was based, in accordance with Chapter V, "Superior Accomplishment Awards".
3. **RECOMMENDING AND APPROVING OFFICIALS.**
 - a. **Initiating Official.** Following verification by the Office of the Inspector General of the savings to DOE which result from a disclosure of fraud, waste, or mismanagement, an award recommendation is initiated by the appropriate Assistant Inspector General to the Inspector General.
 - b. **Inspector General.** As appropriate:
 - (1) Recommends to the Secretary a nomination for a Presidential award.
 - (2) Approves or disapproves a monetary award not exceeding \$10,000 in accordance with the information provided on page VIII-2, paragraph 4b. Decision on the award is at the sole discretion of the Inspector General, and only the Inspector General can exercise this authority.
 - (3) Provides Departmental liaison with Government and non-Government organizations concerning disclosures of fraud, waste, and mismanagement.

c. The Secretary.

- (1) Recommends to the OPM a nomination for a Presidential award.
- (2) Certifies that funds required for a Departmental or Presidential award are within the budgetary capacity of the Department to satisfy.

4. **AWARD.**a. General.

- (1) Monetary awards may be granted only within the limits of available allotted funds.
- (2) The minimum award is \$50.
- (3) The check for a Departmental award is accompanied by a certificate, DOE F 3450.10, signed by the Inspector General. The certificate may be presented framed and matted, in a presentation folder or neither.
- (4) A monetary award under this chapter is in addition to the regular pay of the recipient. Acceptance of the award constitutes an agreement that the use by the Government of an idea, method, or device for which the award is made does not form the basis of a further claim of any nature against the Government by the employee, or his or her heirs, or assignees.

- b. Amount of Award. The amount of the award may not exceed the lesser of (1) \$10,000 or (2) an amount equal to 1 percent of the DOE's cost savings, which the Inspector General determines to be the total savings attributable to the employee's disclosure. In addition to measurable benefits in the first year after implementation, cost-savings projected for subsequent fiscal years may be taken into account in determining the amount of the award.

5. FUNDING OF AWARDS. Each Departmental and Presidential award is normally paid from salaries and expenses allotments of the benefiting organization by transferring funds to the employing organization. In the event that the savings resulting from a disclosure by a Departmental employee benefits more than one Headquarters or field element and the award exceeds \$500, the Inspector General determines the amount to be paid by each benefiting organization. When the award is \$500 or less, the employing organization absorbs the total cost.

6. PRESENTATION OF AWARD AND PUBLICITY.

- a. An award should be granted as soon as full assessment can be made of the benefits to the Department resulting from the disclosure. If, at a later date, additional savings are identified, a supplemental monetary award may be granted.
- b. Each award, including the basis thereof, is publicized by the Inspector General in an appropriate manner within DOE and, if appropriate, to the public, except as provided below in subparagraph c.
- c. An employee making a disclosure to the Inspector General of frauds, waste, or mismanagement may request anonymity. If such an employee receives an award for the disclosure, the Inspector General publicizes the award, but the employee's identity will be omitted to the fullest extent possible. The publicity includes such details about the award as the Inspector General deems appropriate.

7. DOCUMENTATION.

- a. An award for disclosure must be documented and approved in writing before the award is granted.
- b. The Office of Inspector General provides appropriate documentation, with due consideration of requested employee anonymity, to benefiting and employing organizations and to the servicing personnel office for inclusion in the employee's official personnel folder.
- c. Each award recommendation must show that the criteria on page VIII-1, paragraph 1, have been met and that expenditure of appropriated funds for the award is justified. Documentation requirements of the General Accounting Office must be met.

8. GROUP AWARDS.

- a. When a disclosure has been made by more than one employee, each contributing employee, including the supervisor, if appropriate, should share in the monetary award.
- b. In determining the amount of a group award, the contribution of the group is evaluated using the award scale provided in attachments V-1 and V-2. The resulting award amount is then divided among the group members in equal shares or in proportion to the contribution of each member to the achievement of the group, as determined by the Inspector General.

- c. The amount of an award is proportionate to the cost-savings to DOE; therefore, the total amount of a monetary award to a group normally may not exceed the amount that would be authorized if the contribution had been made by one individual. An exception from the award scale may be approved if justified for the same reasons and documented in the same manner prescribed on page V-14, paragraph 7e.
9. INTERAGENCY REFERRALS. A disclosure of fraud, waste, or mismanagement is considered for potential application not only throughout the Department, but also in other appropriate agencies. Processing of interagency contributions is done by the Inspector General in accordance with section 451.208 of title 5, CFR, and with FPM subchapter 451.10. If greater benefits to the Government result from the wider application, an additional award may be granted by each benefiting agency in accordance with its regulations. A disclosure which is referred by another agency for investigation of benefits to the Department may, if appropriate, be considered for an award in the same manner as a disclosure by a Departmental employee.
10. PRESIDENTIAL AWARDS FOR COST-SAVINGS DISCLOSURES. The President may grant a monetary award of \$20,000 to any employee whose disclosure of fraud, waste, or mismanagement resulted in cost-savings to the Government which substantially exceed those which qualify for a \$10,000 award. Cost savings projected for subsequent fiscal years may be taken into account in determining the amount of the award. The extent of the contribution beyond the employee's job requirements is also considered. As many as 50 of these Presidential awards may be granted each fiscal year. Agency nominations are submitted through the Director, OPM, as indicated in section 451.205(c)(1) of title 5, CFR, and FPM supplement 451-1, subchapter S-2.
11. REVIEW BY COMPTROLLER GENERAL. The Comptroller General, from time to time, reviews the awards granted under authority of this chapter and the procedures used in making the awards in order to verify the cost-savings on which the awards were based.

CHAPTER III

MAJOR HONOR AND NOMONETARY AWARDS

1. HONOR AWARDS RECOGNITION.

a. General. These are awards which recognize major contributions in support of the Department's missions and goals as reflected by the granting of medals and plaques, signed by the highest level Departmental officials, for lasting display. Current Departmental Honor Awards are: the Secretary's Award, the Award for Valor, the Meritorious Service Award, and the Exceptional Service Award.

b. Type of Award.

(1) The Secretary's Award.

- (a) Basis. This award is granted for outstanding leadership or other achievements deemed by the Secretary to merit the highest incentive award granted by the Department.
- (b) Eligibility. The award may be granted to any Government employee except as otherwise provided by Attachment 1.
- (c) Approving Official. The award is granted at the discretion of the Secretary. Nominations for the award are not solicited.
- (d) Award. The award consists of a gold medal, rosette, and plaque.

(2) Award for Valor.

- (a) Basis. This award is the highest Departmental award granted in recognition of acts of heroism or courage involving great personal risk to the employee.
- (b) Eligibility. The award may be granted to any Government employee except as otherwise provided by Attachment 1.
- (c) Recommending and Approving Officials.

- 1. A nomination of a Departmental employee is initiated on DOE F 3450.3 by the immediate supervisor, submitted through normal supervisory channels and the servicing personnel office for

endorsement by the Head of a Departmental Element, and transmitted for consideration by the ARB or the EPB, as appropriate.

- 2 **Eligibility.** The award may be granted to any Government employee, except as otherwise provided by Attachment 1.

- (d) **Award.** The award consists of a gold medal embossed with a laurel wreath, rosette, and plaque.

(3) **Meritorious Service Award.**

- (a) **Basis.** This award is the second highest incentive award granted by the Department in recognition of achievements which substantially contribute to the accomplishment of the mission or major programs of DOE. A nomination for this award should be submitted only after full prior consideration has been given to the propriety of granting other forms of Departmental recognition for which the individual may be eligible.

- (b) **Eligibility.** The award may be granted to any Government employee, except as otherwise provided by Attachment 1.

(c) **Recommending and Approving Officials.**

- 1 A nomination of a Departmental employee is initiated on DOE F 3450.3 by the immediate supervisor, submitted through normal supervisory channels and the servicing personnel office for endorsement by the Head of a Departmental Element, and transmitted for consideration by the ARB or the EPB, as appropriate.

- 2 Only the EPB/ARB, as appropriate, or the Secretary may approve this award.

- (d) **Award. The** award consists of a silver medal, rosette, **and plaque.**

(4) **Exceptional Service Award.**

- (a) **Basis.** This award is the highest level of honor award that may wanted by the Head of a Departmental Element. It is granted for outstanding service or an established record of achievement in the conduct or improvement of Departmental programs or operations; accomplishment of assigned responsibilities in an exemplary manner; the demonstration of unusual

initiative in contributing to efficiency or improved management; outstanding executive or technical ability; unusual devotion to duty under adverse conditions; or for any other equally notable achievement deemed worthy of this level of recognition.

(b) Eligibility. The award may be granted to any Government employee, except as otherwise provided by Attachment 1.

(c) Recommending and Approving Officials.

1 A nomination of a Departmental employee is initiated on DOE F 3450.3 by the immediate supervisor and submitted through normal supervisory channels and the servicing personnel office for consideration by a designated approving official

2 A nomination of an employee of another Government agency is initiated on DOE F 3450.3 and recommended in the manner prescribed on page I-6, paragraph Ii(4).

3 This award may be approved by the Secretary, Deputy Secretary, Under Secretary, the Head of a Departmental Element, or the Inspector General, as appropriate, for employees in their respective organizations. A manager at a lower organizational level who has management or program oversight responsibility for the entire organizational element (for example, a full Deputy, an Executive Assistant Administrator, and/or an Assistant Manager for Administration, or the Associate Inspector General may be authorized to approve or disapprove this award on behalf of the Head of the Departmental Element. The Head of a Headquarters Element may authorize the heads of his or her subordinate field element who have delegated personnel authority to approve this award for employees in their respective organizations.

(d) Award. The award consists of a bronze medal, rosette, and plaque.

2. NONMONETARY AWARDS A nonmonetary award may be granted for superior accomplishment of assigned tasks in order to provide recognition for more exceptional accomplishments and creative endeavors which result in significant benefits to the Department or the parent organization.

Superior accomplishment awards under this category are: Superior Achievement Award, Award for Achievement in Equal Employment Opportunity, and Certificate of Appreciation. (See chapter V for information on monetary Superior Accomplishment Awards).

a. Superior Achievement Award.

- (1) Basis. The award is granted for exemplary performance of assigned tasks or for equally notable achievements which do not meet the requirements for the Secretary's Award, Award for Valor, Meritorious Service Award, or the Exceptional Service Award.
- (2) Eligibility. The award may be granted to any Government employee(s) except as provided by Attachment 1.
- (3) Award. The award consists of an inscribed plaque signed by the designated approving official.

b. Award for Achievement in Equal Employment Opportunity.

- (1) Basis. This award is granted for significant achievements in providing employment opportunity to those desiring Federal employment or by assisting Federal employees to achieve their highest potential and productivity.
- (2) Eligibility. The award may be granted to any Government employee, except as otherwise provided by Attachment 1. Detailed criteria may be found in FPM chapter 713, subchapter 5.
- (3) Award. The award consists of an inscribed plaque signed by the designated approving official.

c. Certificate of Appreciation.

- (1) Basis. This award may be granted for performance of assigned tasks, superior accomplishment of nonrecurring assignments, or any accomplishments which merit such recognition, but do not meet the requirements for any of the other nonmonetary awards.
- (2) Eligibility. The certificate may be granted to any Government employee except as otherwise provided by Attachment 1.
- (3) Award. The award consists of a certificate, DOE F 3450.10, is signed by the designated approving official. The certificate may be presented framed and matted, in presentation folder, or neither.

- d. Recommending and Approving Officials. The following is applicable to nonmonetary awards.
- (1) A nomination of a Departmental employee is initiated on DOE F 3450.3 by the immediate supervisor and submitted through normal supervisory channels and the servicing personnel office for consideration by the designated approving official. An Award for Achievement in Equal Employment Opportunity requires the concurrence of the Director of Civil Rights.
 - (2) A nomination of an employee of another Government agency is initiated on DOE F 3450.3 and recommended in accordance with page I-6, paragraph II (4).
 - (3) The Secretary, Deputy Secretary, Under Secretary, Heads Of Departmental Elements, and the Inspector General may approve nonmonetary awards for employees in their respective organizations. This authority may be redelegate; however, authority to approve or disapprove the Superior Achievement Award may only be redelegate to Heads of Headquarters offices who report directly to the Head of a Headquarters element and to Managers of DOE Field Offices with program oversight responsibility for the entire organization. In all instances, the procedures for review and concurrence must be followed, and the servicing personnel office must be advised in writing of any redelegations.

CHAPTER IV

CAREER SERVICE RECOGNITION

1. General. Career service recognition is granted at significant milestones in an employee's Federal service.
2. **DISTINGUISHED CAREER SERVICE AWARD**
 - a. Basis. This award is the highest Departmental recognition of career service to the Government. It is granted upon retirement to an employee who has a minimum of 20 years of creditable service that has included significant career achievements during Government service, as recognized by two or more of the following: Presidential or agency incentive awards, performance ratings of "outstanding" for non-SES employees or "exceptional" for SES employees, quality step increases, performance bonuses, Presidential rank awards, or other equivalent recognition as determined by the servicing personnel office. Certificates of Appreciation are not equivalent evidence for this purpose.
 - b. Eligibility. Any DOE employee is eligible for the award except as otherwise provided by Attachment 1.
 - c. Recommending and Approval Officials.
 - (1) Abomination is initiated on DOE F 3450.3 by the immediate supervisor and submitted through normal supervisory channels and the servicing personnel office for consideration by the designated approving official.
 - (2) The award is approved by the Secretary, the Deputy Secretary, or the Under Secretary, for employees who report directly to them, and by the Heads of Departmental Elements and the Inspector General, for employees in their respective organizations. This authority may be redelegate; however, the servicing personnel office must be advised in writing of all redelegations and must determine in all cases, whether the award criterion is met prior to approval by any designated approving official.
 - d. Award. The award consists of a plaque signed by the designated approving dial.
3. **CAREER APPRECIATION PLAQUE**
 - a. Basis. This plaque is granted in recognition of career service to the Government and is presented upon retirement. (This plaque is not granted in addition to a Distinguished Career Service Award.)

- b. Eligibility. Any DOE employee who is eligible for an immediate annuity is eligible for the plaque except as otherwise provided by Attachment 1.
- c. Recommending and Approving Officials. The request for the plaque is initiated on DOE F 3450.3 by the immediate supervisor and submitted through normal supervisory channels and the servicing personnel office for consideration by the designated approving official. Approval authority may be redelegated to any second-level supervisor or manager so long as two levels of supervision are involved in initiating and approving the award.
- d. Recognition. The recognition consists of a plaque signed by an appropriate management official.

4. CAREER SERVICE EMBLEMS AND CERTIFICATES.

- a. Basis. Emblems and certificates are given in recognition of the completion of various periods of service (creditable for retirement purposes) to the Government. The Department recognizes the following periods of service: 10, 20, 25, 30, 35, 40, and 45 years.
- b. Eligibility. Any DOE employee is eligible for the recognition except as otherwise provided by Attachment 1.
- c. Approving Officials. The servicing personnel office authorizes the granting of career service emblems and certificates to employees.
- d. Emblems. A lapel pin, charm, or similar form of recognition, differentiated for the employee's length of service. The 10-year emblem is bronze; the 20-year emblem is silver, and the remaining emblems are gold with the years of service inscribed.
- e. Certificates. A certificate of service, which states the number of years of service completed, accompanies the emblem.

CHAPTER V

SUPERIOR ACCOMPLISHMENT AWARDS

1. BASIS.

- a. Superior accomplishment awards may be granted for a suggestion, invention, or special act or service connected with official employment which contributes to the efficiency, economy, or other improvement of Government operations.
- b. The awards may be monetary or nonmonetary (see page III-3, paragraph 2a), and granted for a contribution which resulted in tangible savings and/or intangible benefits to the Government.
- c. The Department may grant a superior accomplishment award concurrent with, or in addition to, a performance award granted under 5 U.S.C., part 430, subpart E or part 540; or a quality step increase granted under part 531, subpart E; so long as the two forms of recognition are not for the same contribution.
- d. A group award should be granted when the, superior accomplishment being recognized is the result of the efforts of more than one Government employee. Each contributing employee, including the supervisor, if appropriate, should share in the nonmonetary or monetary award to the extent that the contribution has not been recognized by a performance award. A cash award may be made in equal shares to each employee of the group or in proportion to his or her personal contribution to the achievement. In these cases, if an employee in the group has a summary rating or a relevant element rating below "Fully Successful," the nominator should determine whether such an employee has made a contribution to the group achievement sufficient to warrant inclusion in a superior accomplishment award.
- e. An employee may receive more than one superior accomplishment award within a fiscal year so long as each individual contribution meets the requirements of this chapter and there is no duplication or proliferation of recognition for the same accomplishment.

2. EMPLOYEE COVERAGE AND EXCEPTIONS. Unless otherwise indicated, this chapter includes awards granted for contributions which benefit DOE when made by any of the following:

- a. A Departmental employee.
- b. An employee of another Government agency when his or her contribution is adopted by DOE and the award is concurred in by the employing agency.

- c. A former Government employee or the estate of a deceased employee, provided that the employee made the contribution while employed by the Government.

3. RECOMMENDING AND APPROVING OFFICIALS.

- a. Superior accomplishment awards should be initiated by the organization which benefitted, or will benefit the most from the contribution(s).
- b. Prior to forwarding an award nomination to the designated approving official of the benefiting organization, the servicing personnel office of the benefiting organization is responsible for coordinating the nomination with the employee's supervisor of record and the personnel office having custody of the employee's Official Personnel Folder to assure supervisory concurrences and that the employee is eligible for an award.
- c. The employee's supervisor of record shall indicate his or her concurrence by signing the nomination form.
- d. The Secretary, Deputy Secretary, Under Secretary, Heads of Departmental Elements, and the Inspector General may approve awards for employees in their respective organizations. This authority may be redelegate, so long as the approving official is at a higher organizational level than the initiator, the amount of the award is consistent with the delegated authority of the approving official, and the servicing personnel office and the payroll office are notified in writing of all delegations. All such awards must be concurred in by the servicing personnel office which will ensure that the amount of the award is consistent with the appropriate Departmental awards scale; the payroll office will assure that the award amount is consistent with the approving official's delegated authority.
- e. Only the Secretary of Energy has the authority to both initiate and approve superior accomplishment awards.

4. TYPES OF AWARDS.

- a. Special Act or Service.

- (1) Basis. A monetary award may be 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 or aspect of an assignment or job function, or for a single scientific achievement, act of heroism, or similar one-time special act, or accomplishment

of a nonrecurring nature. Abomination which is based substantially upon aspects of an employee's assigned duties and responsibilities does not meet the eligibility criteria for special act or service award. Such accomplishments should be considered in evaluating the employee's overall performance for the year and form the basis for, or be included in, determining the amount of any performance award granted. The award amount may be based on either tangible or intangible benefits (see Attachments V-1 and V-2).

(2) Procedures.

- (a) Usually within 30 days, and preferably not later than 60 days after completion of the event on which the nomination is based, superior accomplishment awards should be initiated by the organization which benefitted, or will benefit the most, from the contributions.
- (b) The justification must include a written recommendation for the award stating the circumstances and the employee(s) contribution(s) which the award would recognize. It must describe the value of the benefit and the extent of application or include data which clearly substantiates the tangible benefit cited. For group awards, where the amount recommended is not to be divided equally among the nominees, the justification must speak to the varying contributions or the respective roles of each group member.
- (c) Prior to managerial approval, the nomination is forwarded to the servicing personnel office for regulatory review, also for coordination with the nominated employee's supervisor of record and with the servicing personnel office having custody of the employee's OPF, to assure supervisory concurrence and the employee's eligibility for the award.
- (d) The employee's supervisor of record and other officials deemed appropriate shall indicate their concurrence by signing the nomination form.
- (e) The award must be approved by a management official who is at a higher organizational level than the individual recommended or initiated the award and who has authority to approve awards at the particular monetary value involved.
- (f) Generally, the benefiting organization approves and pays the award unless otherwise arranged.

- (g) An approved award is returned to the servicing personnel office for generation of the SF-50, "Notification of Personnel Action," from which the award is processed for payment.
- (h) The recipient should be notified of the approved award and presented with a copy of the nomination, the approved SF-50, and an award certificate, DOE F 3450.4, during an appropriate ceremony.

b. Employee Suggestions.

(1) Basis.

- (a) An employee suggestion is a constructive proposal submitted in writing by one or more employees that, if adopted, directly contributes to the economy or efficiency, or directly increases the effectiveness, of Departmental operations, or results in a significant reduction in paperwork. It need not be new or original with the originator, but it must not already be in use in the suggestor's parent organization, except as discussed in subparagraph (c).
- (b) An idea related to employee services, benefits, working conditions, housekeeping, normal safety procedures, or maintenance of buildings and grounds normally is ineligible for a suggestion award unless it results in tangible benefits to the Government.
- (c) An employee idea informally communicated to and adopted by management may be documented later by the employee and submitted as a suggestion. The submission should be made promptly in order to protect employee rights.
- (d) A suggestion calling attention to regulations or procedures that are not being observed or enforced, or to instances of waste, fraud, or abuse, is eligible for an award if it causes management action that results in substantial tangible benefits to DOE.
- (e) An award may be given for a suggestion which is based upon aspects of an employee's job. However the amount of such an award should be less than the full amount granted (based on the resulting tangible/intangible benefits) when the accomplishment forms a basis for, or is included in, determining the amount of a performance award. In addition, if within job responsibility, the suggestion must be so superior or meritorious as to warrant special recognition because

it has application in a broader area than that for which the employee is responsible, or is so superior in nature that others in comparable positions would not normally be expected to make a similar recommendation. Job-related suggestions not meeting this criteria may be appropriately considered in appraising employee performance.

(2) Procedures

- (a) Initiation An employee prepares and submits a suggestion on DOE F 3450.1A, which may be obtained from the supply rooms at Headquarters and from servicing personnel offices in the field. Discussion with the supervisor can be beneficial, but is not mandatory, before submitting the idea as a suggestion. The completed suggestion form is submitted to the servicing personnel office.
- (b) Initial Review The servicing personnel office records receipt of the suggestion, sends an acknowledgment to the suggestor, determines the suggestion's eligibility for consideration, and either refers it to an appropriate official for evaluation or notifies the suggestor in writing that the suggestion is ineligible and the reason therefor.
- (c) Intra and Interagency Suggestions.
 - 1 A suggestion from a field element (after local evaluation) requiring evaluation either at Headquarters or at other field elements, or a suggestion from a Headquarters element and requiring field evaluation, is coordinated by the Classification and Staffing Division.
 - 2 A suggestion from a field element which is applicable to another Government agency is referred (after local evaluation) to the Classification and Staffing Division for appropriate routing and, if appropriate, for a transfer of funds to pay an award.
 - 3 If a suggestion affects the functions, operations, or systems or more than one Headquarters or field element, the recommendation of the Office of Organization, Resources and Facilities Management, as well as that of the affected organizations, must be obtained by the Classification and Staffing Division.

- 4 An interagency referral is accepted in the Classification and Staffing Division and forwarded to the appropriate Headquarters element or to a field element with delegated personnel authority for evaluation and, if appropriate, adoption by an operating official responsible for the functional area to which the suggestion relates. Evaluation and adoption procedures are as stated in paragraph 4b(2) (d) below. The Classification and Staffing Division reports the Departmental decision to the originating agency and arranges for a transfer of funds for an initial or supplemental award, as appropriate.

(d) Evaluation.

- 1 The suggestion is evaluated on DOE F 3450.2, or a comparable form (for interagency suggestions), for possible benefit not only in the suggestor's organization but, when applicable, throughout DOE and the Government. A suggestion referred to another agency must be accompanied by an evaluation by the appropriate DOE organization.
- 2 The evaluation and agency award determination must be made within the time limits specified on page I-11, paragraph 4. If aspects of legitimate consideration, such as the need for a test period, would cause the time limit to be exceeded, the servicing personnel office should extend the time limit as necessary and notify the suggestor.
- 3 The adoption of a suggestion is approved by the official responsible for the functional area to which the suggestion relates.

- (e) Approval of Monetary Awards. A monetary award for a suggestion adopted in whole or in part may be approved by the appropriate official designated on page I-1, paragraph 1a and page I-5, paragraph 1f. The SF-50 and an award certificate (DOE F 3450.6, "Monetary Award for Suggestion") signed by the designated approving official should be presented at an appropriate ceremony. In the event that the benefits from an adopted suggestion are insufficient to meet the requirements for the \$50 minimum award, an award certificate alone, DOE F 3450.6, should be granted to the suggestor.

(3) Reconsideration. In the event that a suggestion is not adopted, the suggester may contact his or tier supervisor or the servicing personnel office for additional information. If supplemental, written information is provided by the suggestor and a review of the suggestion file indicates that it is warranted, the suggestion should be reevaluated by the next level of authority higher than the disapproving official. If the suggestion is implemented anytime during the 2-year period immediately following nonadoption, management should consider granting an award.

(4) Employee Rights.

(a) An employee who submits a written suggestion under the provisions of this Order has the right to receive a prompt, objective, and fair evaluation of his/her idea and, if it is adopted either through written notification or practical application, to be considered for an award.

(b) The suggestor retains the right to be considered for an award for 2 years after the date of final disapproval of a suggestion. If the suggester wishes to resubmit the suggestion with new information to support its applicability or benefits, he or she may do so, thus, extending the award eligibility period.

(5) Departmental Obligations.

(a) The obligation of DOE under the suggestion program is to:

1 Give due consideration to a suggestion; and

2 If it is adopted, consider granting an award. DOE must make a prompt, objective, and fair evaluation of the value and usefulness of the suggestion to the Department.

(b) Ideas solicited through management channels other than the Departmental suggestion program should be linked to the suggestion system to ensure that the Department meets its obligation to protect the employee's rights.

c. Invention Awards.

(1) Basis. A patent award may be granted for an invention selected by the Assistant General Counsel for Intellectual Property for the filing of either: (a) an application for a Statutory Invention Registration (SIR), or (b) an application for a patent on behalf of the Federal Government. An additional patent award may be granted upon

publication of an SIR (or notice of intent to publish where publication of an SIR will be deferred because of national security restrictions) or issuance of a patent (or notice of allowability where issuance of a patent will be deferred because of national security restrictions) on the invention. An invention award may be granted if the Government holds title or license to the invention and the invention (a) benefits the public, (b) benefits the Department, or (c) is of value, but is not eligible for patent protection under the patent laws, as set forth on page V-9, paragraph 4c(3)(a)3.

(2) Patent Awards.

- (a) An award of \$200 may be granted to each inventor when an application for either an SIR or a patent is filed on a reported invention, and the Federal Government either owns the invention or has a license.
- (b) An additional award of \$500 per inventive entity may be granted when the U.S. Patent and Trademark Office publishes an SIR or issues a patent (or notice of intent to publish or notice of allowability in those instances where publication of an SIR or issuance of a patent will be deferred because of national security restrictions) on a reported invention, and the Federal Government either owns the Invention or has a license. If there are three or more coinventors on an invention, however, each coinventor shall receive \$250.

(3) Awards for Government-Owned or Government-Licensed Inventions.

- (a) Whether or not the awards authorized above in paragraph 4c(2) are recommended or granted, an award not to exceed \$35,000, accompanied by a certificate (DOE F 3450.7, "Invention Award") may be granted for an invention in which the Federal Government holds title or a license:
 - 1 When the invention benefits the public as evidenced by the number of Patent licenses granted, reports on commercialization from patent licenses, and other information pertaining to the commercial use of the invention;
 - 2 When the invention provides tangible or intangible benefits to DOE; or

- 3 When the invention consists of an important theoretical concept, or other discovery or invention not eligible for patent protection under the patent laws, e.g., a scientific principle, even though the invention is not eligible for an award under the immediately foregoing paragraph.
 - (b) The amount of such an award is determined in accordance with the award scale for tangible or intangible benefits (see Attachments V-1 and V-2).
 - (4) **Recommending and Approving Officials.**
 - (a) The Assistant General Counsel for Intellectual Property will report the name(s) of the inventor(s) and the title of the invention to the Head of the appropriate Departmental Element, and the servicing personnel office where, 1 a patent application has been filed, and 2 an SIR has been published or a patent has been issued (or notice of intent to publish or of allowability has been given in those instances where publication or issuance of a patent will be deferred because of national security restrictions).
 - (b) An invention award normally is initiated on DOE F 3450.1 with supporting evidence by an official in the benefiting Departmental organization and the patent restrictions). The recommendation is submitted through normal supervisory channels, the Assistant General Counsel for Intellectual Property, and the servicing personnel office to the appropriate approving official designated in accordance with page V-2, paragraph 3.
 - (c) Where appropriate, an invention award may also be initiated by the patent counsel on DOE F 3450.2 with supporting evidence. The recommendation is submitted through the benefiting organization and the servicing personnel office to the appropriate approving official designated in accordance with page V-2, paragraph 3.
 - (5) **Review of Benefits** The inventor may request a special review and evaluation of benefits whenever he or she believes that an invention award is merited and should have been granted or can demonstrate that the value of the invention to DOE or to the public has increased substantially since the initial determination of benefits.

The review request is submitted to the servicing personnel office. Participants in the review may include the Assistant General Counsel for Intellectual Property, management officials of the benefiting organization, and the inventor.

d. On-the-Spot Monetary Recognition Award.

(1) Basis.

- (a) This award recognizes a significant deed or accomplishment performed with exceptional and unanticipated speed and quality under difficult or unusual circumstances. If it later becomes appropriate to give the employee some other award which is justified in part on the basis of the deed or accomplishment which justifies this award, the subsequent award amount must be reduced by the amount of this award.
- (b) Because repeated issuance of this award to the same employee may reflect adversely on its credibility and imply that another form of recognition was actually warranted, no more than 2 on-the-spot awards may be granted to the same individual within any consecutive 52-week period.

(2) Eligibility. Departmental employees only.

(3) Recommending and Approving Officials. Authority for approval of these awards may be redelegated in accordance with the authorities in chapter I, so long as the approving or disapproving official is at least one level of line Management higher than the initiating official, unless the latter is the Secretary of Energy.

(4) Procedures.

- (a) Preferably within 3 days, but no later than 30 days after the event takes place on which the nomination is based, the employee's supervisor or a management official whose unit benefitted from the act or service prepares a written recommendation stating the basis for the award, i.e., what was accomplished, the circumstances that warrant recognition, and the value or impact of the employee's contribution.
- (b) The justification must address the value of the accomplishment and its extent of application and must specify the amount of the cash award recommended.

- (c) If not initiated by the employee's immediate supervisor, the recommendation must be forwarded to the employee's immediate supervisor for concurrence or his/her telephone concurrence may be obtained.
 - (d) The award may be approved or disapproved by a supervisor or management official at least one level higher than the supervisor who recommended the award.
 - (e) The approved award is forwarded to the servicing personnel office for preparation of the SF-50 and processing to ensure that the award will be paid as quickly as possible.
 - (f) The employee should be notified of the approved award, presented with a copy of the nomination, the approved SF-50, and a certificate, DOE 3450.10, at an appropriate ceremony.
- (5) Award Amount. Awards are usually not less than \$25. The maximum amount of an on-the-spot award is \$100 per individual or \$250 for a group.

5. SPECIAL AWARDS.

- a. General. In addition to the Department awards described herein, organizations may establish monetary or nonmonetary awards to meet special needs or missions of their respective organizations, i.e., occupational safety and health; superior accomplishment in equal employment opportunity; and recognition of and incentive for individual and group productivity improvements, such as gainsharing. Such awards must be consistent with applicable laws, rules or regulations.
- b. Requirements. Supplementary awards programs must be approved by the Director of Personnel prior to publication and implementation at the local level.
 - (1) Monetary Awards Program. Requests for approval must include:
 - (a) A description of the Program;
 - (b) The basis for awards, i.e., eligibility requirements and the general criteria for selection;
 - (c) Who will be the recommending and approving officials;
 - (d) Award amounts, and how they are determined, the frequency with which they may be earned and given;

- (e) Example or photograph of any awards paraphernalia that will accompany cash awards; and
- (f) The funding authorization that will be used if authority under 5 U.S.C., chapter 45, is not clear and certain.

(2) Nonmonetary Awards Programs and Awards Paraphernalia.

- (a) Program Criteria. These awards are to be based upon standard criteria and measurable achievements.

- (b) Paraphernalia.

- 1 The plaques for the Exceptional Service Award, the Award for Achievement in Equal Employment Opportunity, and certificates for Departmental nonmonetary awards may be modified locally to include approved logos or other approved additions so that they can be used for such awards. Although the Departmental seal is not required, the words, "Department of Energy" must appear at an appropriate place on the paraphernalia.
- 2 Awards paraphernalia which are designed or approved locally may not be larger or more costly than Departmental awards for contributions of comparable importance or value.
- 3 Awards which are developed or approved locally, may not be accompanied by Departmental medals or plaques.

- (c) Reporting Requirements. Submit as a part of the annual awards report or as requested. The format should follow page V-n, paragraph 5b(1)(b) unless otherwise specified. The report will describe all awards which exist or are developed locally for approval by any Departmental official.

- (d) Documentation. Nonmonetary awards established in accordance with these requirements must be published as part of local awards plans. Utilization of the awards should be monitored locally and their review will be included during scheduled or ad hoc personnel management evaluations.

6. AWARD FUNDS.

- a. Each Headquarters and field element with delegated personnel authority and its own approved funding plan constitutes a funding unit for administration of these awards. The head of the element shall assure that adequate funds are provided for payment of monetary awards and for administration of the program, and that staffing and support services are sufficient to ensure prompt action on awards recommendations and effective promotion and publicity of the program.
- b. The Director of Administration and Human Resource Management budgets, allocates funds, and provides staffing for the control and provision of medals, plaques, emblems, certificates, and other Departmental awards materials that are provided centrally.
- c. An award is normally processed and paid by the benefiting Organization, or funds are transferred to the employing organization for payment of the award. However, when an award is for \$500 or less, the employing organization processes and pays the award, and absorbs the total cost.

7. APPLICATION OF AWARDS SCALE.

- a. In order to determine the normal amount of an award, refer to Attachments V-1 and V-2. However, monetary awards may be granted only to the extent that there are unobligated allotted funds to pay them.
- b. Attachment V-1 is used to determine the amount of an award that is based upon the tangible benefits of a superior accomplishment. Wherever possible, an effort should be made to identify and determine the amount of any tangible benefits; in addition to or in the absence of any identifiable tangible benefits, the intangible benefits scale, Attachment V-2, is applied to determine the final award amount.
- c. The minimum monetary award is \$50, based on tangible benefits of at least \$500, or on comparable intangible benefits.
- d. In determining the amount of a group monetary award, the superior accomplishment by the group is evaluated using the tangible and/or intangible award scales. The resulting count is then divided among the group either in equal shares or in proportion to the respective contribution of each member of the group, as determined by the recommending/approving officials.
- e. The amount of an award is proportionate to the benefits accruing to DOE from the superior accomplishment; therefore, the total amount of a monetary award to a group should not exceed the amount

that would be authorized if the contribution had been made by one individual, unless an exception from the applicable award scale is documented and approved in accordance with paragraph 8, below.

8. EXCEPTIONS FROM THE AWARD SCALE. Exceptions from the Departmental awards scales for tangible or intangible benefits may be granted by the Director of Personnel as follows.
 - a. When a contribution is made by more than one employee and the calculated amount of the award, when divided among all contributors would be too small to be meaningful and motivating, an award which exceeds the normal amount provided by application of the award scale(s) may be granted.
 - b. When there are substantial nonrecurring implementation costs for a suggestion or invention that will be of benefit for a number of years, the amount of an award may be based on an average of the estimated net benefits over a period of Up to 5 years, rather than just the first year savings that would be realized from its implementation.
 - c. When the development costs to an employee of an acknowledged superior accomplishment were in no way supported by public funds, and this fact has been documented, an award larger than that provided by application of the award scale(s) may be granted.
9. DOCUMENTATION AND PRESENTATION.
 - a. All incentive awards must be supported by written documentation that is separate from the employee performance rating of record, and must be accompanied by a completed DOE F 3450.3. Upon approval of an award one copy of the required documentation must be given to the employee and a copy of the approved DOE 3450.3, reflecting the nature of the award and the amount of the award, must be placed in the employee's OPF to serve as a permanent record.
 - b. Monetary awards consist of the cash award itself and an appropriate certificate signed by the designated approving official. The certificate may be presented matted and framed, in a presentation folder, or neither.

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

Estimated First-Year
Benefits to Government

Amount of Award

Up to \$10,000

20% of benefits

\$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 0.05% of
benefits over \$100,000

Awards in excess of \$10,000 must be certified to the Office of Personnel
Management for approval