

# U.S. NUCLEAR REGULATORY COMMISSION

## **DIRECTIVE TRANSMITTAL**

TN: DT-00-17

**To:** NRC Management Directives Custodians

**Subject:** Transmittal of Directive 10.72, "Incentive Awards"

**Purpose:** Directive and Handbook 10.72 replace Manual Chapter 4154, Incentive Awards and Appendix 4154. In addition, the following changes have been made: MD 10.73, "Time Off From Duty as an Incentive Award," has been incorporated into MD 10.72; organizational names resulting from recent reorganizations have been updated; the Categories of Excellence for NRC Distinguished and Meritorious Service Awards have been revised; changes to the procedures for the electronic transfer of funds for Instant Cash Awards have been added; a section entitled "Non-Monetary and Informal Recognition Awards" has been added to the Directive; changes have been made to the award approval authority of Office Directors/Regional Administrators; and a change has been made in the Directive in the administration and management of incentive awards funding.

**Office and Division of Origin:** Office of Human Resources

**Contact:** Pam Easson, 415-7082

**Date Approved:** Approved: October 11, 2000

**Volume:** 10 Personnel Management

**Part:** 3 Performance Appraisals, Awards, and Training

**Directive:** 10.72 Incentive Awards

**Availability:** Rules and Directives Branch  
Office of Administration  
David L. Meyer (301)415-7162 or  
Doris Mendiola (301)415-6297

# ***Incentive Awards***

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***Directive***  
***(Formerly*** ***10.72***  
***MC 4154)***

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# U. S. Nuclear Regulatory Commission

Volume: 10 Personnel Management

Part: 3 Performance Appraisals, Awards, and  
Training

HR

## Incentive Awards Directive 10.72

### Policy (10.72-01)

It is the policy of the U.S. Nuclear Regulatory Commission to recognize and reward the individual or group achievements of its employees who, in connection with or related to official employment, contribute to meeting organizational goals or improving the efficiency, effectiveness, and economy of the agency and/or the Government, or that are otherwise in the public interest.

### Objectives (10.72-02)

- To improve agency and Government efficiency, economy, and effectiveness. (021)
- To motivate employees to increase productivity and creativity, support and enhance the NRC and national goals, meet employee recognition needs, and obtain maximum benefits for the Government. (022)

### Organizational Responsibilities and Delegations of Authority (10.72-03)

#### Chairman (031)

- Provides personal leadership to the Incentive Awards Program. (a)
- Approves awards for employees of the Chairman's immediate staff as well as other awards as indicated in Exhibit 1 of Handbook 10.72. (b)

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**Chairman**  
**(031) (continued)**

- Approves exceptions to award scales and to the provisions of this directive for employees under the jurisdiction of the Chairman, the Commissioners, and Commission staff offices. (c)
- Submits award recommendations that are in excess of \$10,000 up to \$25,000 for individuals, or individuals as part of a group, to the Office of Personnel Management (OPM) for approval and in excess of \$25,000, for individuals, or individuals as part of a group, to OPM for Presidential approval (d)

**Commissioners**  
**(032)**

Approve awards as indicated in Exhibit 1 of Handbook 10.72.

**Executive Director for Operations (EDO)**  
**(033)**

- Approves awards as indicated in Exhibit 1 of Handbook 10.72. (a)
- Approves exceptions in the award scales set forth in Exhibits 2 and 3 of Handbook 10.72. (b)
- Approves exceptions to the provisions of this directive. (c)

**Inspector General (IG)**  
**(034)**

- Approves awards for employees of the Office of the IG (OIG) as well as other awards. (a)
- Adheres to the awards policies and procedures outlined in the "OIG Employee Recognition and Awards Program" guidance. (b)
- Establishes and maintains a system for funding and allocating funds or other appropriate recordkeeping procedures relating to incentive awards that are approved by the IG. (c)

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**Deputy Executive Director for  
Management Services (DEDM)  
(035)**

- Provides oversight and direction on issues involving NRC's incentive awards program. (a)
- Advises the EDO on award recommendations and actions. (b)

**Director, Office of Human Resources (HR)  
(036)**

- Manages the agency's Incentive Awards Program. (a)
- Ensures that personnel resources are available for the coordination of the awards ceremony to be held annually at headquarters. (b)
- Provides for technical review of and concurrence on proposed awards, as appropriate. (c)
- Submits an annual report to OPM on program activities and expenditures for the fiscal year. (d)
- Periodically evaluates the program and prepares reports, as required. (e)
- Provides appropriate information about the program to supervisors and other employees. (f)
- Provides plaques and certificates in support of the Agency Incentive Awards Program. (g)

**Office Directors and  
Regional Administrators  
(037)**

- Recommend and/or approve awards as indicated in Exhibit 1 of Handbook 10.72. (a)
- Provide program support and active management participation in the activities of the Incentive Awards Program, as appropriate. (b)
- Manage the distribution of awards within the funding provided for awards. (c)

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**Director, Division of Accounting and Finance (DAF)  
(038)**

- Establishes and maintains systems and associated payroll, attendance, or other appropriate recordkeeping procedures related to the Incentive Awards Program. (a)
- Ensures that approved cash awards are processed and proper payment is issued promptly. (b)

**Director, Division of Planning, Budget,  
and Analysis (DPBA)  
(039)**

- Allocates funds to office directors and regional administrators for incentive awards. (a)
- Establishes procedures to ensure that funds are certified available before incentive awards are issued. (b)

**Applicability  
(10.72–04)**

- The policy and guidance in this directive and handbook apply to all NRC employees. (041)
- The policy and guidance with regard to time off from duty do not apply to Administrative Law Judges, experts, or consultants who are excluded by regulation, or Administrative Judges, who are excluded by agency policy. (042)

**Handbook  
(10.72–05)**

Handbook 10.72 contains the program requirements and practices to award and recognize NRC employees.

**References  
(10.72–06)**

- Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).
- Code of Federal Regulations*, Title 5, “Administrative Personnel.”
- , Part 451, “Awards.”
- , Part 531, “Pay Under the General Schedule.”

## References

(10.72–06) (continued)

“Collective Bargaining Agreement Between U.S. Nuclear Regulatory Commission and National Treasury Employees Union,” August 1, 1997.

Debt Collection Improvement Act of 1996, part of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub. L. 104-134).

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Federal Employees Pay Comparability Act of 1990 (Pub. L. 101-509, 104 Stat. 1427).

Inspector General Act, 5 U.S.C. Appendix 3.

“Prohibition on Cash Awards to Certain Federal Officers” (Pub. L. 103-425).

*United States Code*, Title 5, “Government Organization and Employees.”

“Incentive Awards,” Chapter 45, Subchapter I.



# ***Incentive Awards***

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***Handbook***

***(Formerly  
Appendix  
4154)***

***10.72***

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## Part I

### General

#### General Information (A)

The Nuclear Regulatory Commission encourages supervisors at all levels to use the Incentive Awards Program to motivate employees to make full use of their talents, skills, and ideas to improve the efficiency, economy, and effectiveness of Government operations. Supervisors should—(1)

- Use management reviews and productivity measurement processes, when available, to identify and reward or recognize those who have contributed to improvements (a)
- Weigh all aspects of an employee's relevant background, including past recognition, when selecting employees who otherwise meet requirements for promotion (b)
- Take appropriate precautions to avoid the premature release of information on award nominations and to protect personal information (c)

Consistent with applicable law and regulation, the NRC may grant a cash, honorary, or informal recognition award, or a time-off-from-duty award without charge to leave or loss of pay. This type of recognition is given to individuals or members of a group or team on the basis of—(2)

- A suggestion, invention, superior accomplishment, or other personal effort that contributes to the efficiency, economy, or other improvement of Government operations or achieves a significant reduction in paperwork (a)
- A special act or service in the public interest in connection with or related to official employment (b)
- Performance as reflected in the employee's most recent rating of record (c)

## **General Information (A) (continued)**

Awards may be granted to the legal heirs or estates of deceased employees who were nominated before their death. (3)

Where provisions of the “Collective Bargaining Agreement Between U.S. Nuclear Regulatory Commission and National Treasury Employees Union” are in conflict with this directive and handbook, the provisions of the agreement governs with reference to bargaining unit employees. (4)

## **Funding (B)**

A cash award is a lump sum payment in addition to regular pay and does not increase an employee’s rate of basic pay. It is subject to tax withholding but is not subject to health or life insurance or retirement deductions. A cash award is not creditable for inclusion in the average pay computation for retirement benefits. (1)

When an award is approved for an employee of another agency, the benefiting agency makes arrangements to transfer funds to the employing agency to cover the cost of the award. If the administrative costs of transferring funds would exceed the amount of the award, the employing agency may absorb the cost and pay the award. (2)

Awards for time off cannot be converted to cash payments under any circumstances. (3)

Performance awards are based on the rate of basic pay without taking into account any locality-based comparability payment, interim geographic adjustment, or special law enforcement adjustment. (4)

The total of an employee’s basic salary, performance award, and rank stipend received in any calendar year may not exceed the annual rate of pay for Executive Level I. Generally, rank awards will be budgeted as a percent of Senior Executive Service (SES) payroll costs or under other guidance from the Office of Personnel Management. The Chair of the NRC Executive Resources Board, after consultation with the CFO, recommends annually to the Commission the total dollar amount to be budgeted for SES performance and rank awards up to the 10 percent of the total SES payroll as of the end of the preceding fiscal year. This limitation pertains to SES performance awards only, not to the combined total of SES performance awards and rank awards. (5)

## **Appeals and Grievances (C)**

Employees may not appeal or grieve a decision to not grant an award or the amount of an award. However, this does not affect any employee right or remedy under the provisions of the Office of the Special Counsel (appointed by the President), rights and duties of labor organizations, or under equal employment opportunity provisions. (1)

If the NRC does not adopt an employee's suggestion, rejection may not be the subject of a grievance under NRC employee grievance procedures. (2)

## **Annual Awards Ceremony (D)**

Normally, the Office of Human Resources (HR) coordinates an awards ceremony to be held annually at NRC headquarters to present awards and to publicize contributions recognized under the NRC Incentive Awards Program. Usually, a program is published for each annual ceremony.

## **Records (E)**

HR staff at headquarters and in regional offices maintain records of employee suggestions, special achievements, other contributions, and awards proposed and granted. (1)

The Director, HR, or the regional personnel officer, as appropriate, ensures that a copy of the approved SF 52, "Request for Personnel Action," is placed in the employee's official personnel folder. (2)



## **Part II**

# **Agency-Level and Governmentwide Recognition**

### **Presidential Executive Rank and Senior Executive Service (SES) Performance Awards (A)**

#### **Two Types (1)**

The Presidential Rank Award of Distinguished Executive is granted for sustained extraordinary accomplishment. The evaluation criteria focus on the executive's leadership in producing results. The amount of the Distinguished Executive award is equal to 35 percent of the recipient executive's annual salary. This award is paid from agency funds. (a)

The Presidential Rank Award of Meritorious Executive is granted for sustained accomplishment. The evaluation criteria also focus on the executive's leadership in producing results. The amount of the Meritorious Executive awards granted after FY 99 is equal to 20 percent of the recipient executive's annual salary. This award also is paid from agency funds or from funds of the Office of the Inspector General for OIG recipients. (b)

#### **Eligibility (2)**

All NRC SES career appointees are eligible for consideration for rank awards if they are on the NRC rolls as career SES employees by the deadline for submission of nominations. (a)

The performance for which a nomination is submitted will have been sustained over a minimum period of at least 3 years. Preferably, the nominee's performance over an even longer period should be taken

## **Presidential Executive Rank and Senior Executive Service (SES) Performance Awards (A) (continued)**

### **Eligibility (2) (continued)**

into account. Performance must have been at the SES or equivalent level in the career or career-type Federal civilian service. (b)

The minimum 3-year period that is the basis for recognition must have been as a career appointee in the SES or constitute equivalent Federal civilian service, such as Senior Foreign Service or administratively determined executive classifications. (c)

A former SES career appointee who received appointment to an Executive Level position in the executive branch and met the criteria for eligibility to retain certain SES benefits also may be eligible for a rank award, so long as the executive elected to retain that benefit and also meets the other criteria for nomination. (d)

A reemployed annuitant who holds a career SES appointment is eligible as long as the individual meets the other criteria for nomination. However, careful consideration will be given as to whether the nomination is in the best interests of the NRC's SES program because of the very limited number of awards that can be made. (e)

An individual who leaves the SES or who dies after being nominated but before receiving the award remains eligible unless the NRC withdraws the nomination. (f)

### **Limitations (3)**

To provide for progression in awarding ranks, nominees for the Distinguished Executive Rank Award usually would have received the Meritorious Executive Rank Award in a previous year. However, at any time, it may be appropriate to confer the Distinguished Executive Rank Award without regard to progression when only the highest rank would serve as fitting recognition. (a)

Any individual who receives a rank of either Meritorious Executive or Distinguished Executive will not be entitled to receive that same award during the following 4 fiscal years. There is no prohibition, however, against receiving one rank award, then the other, at a closer interval. (b)

## **Presidential Executive Rank and Senior Executive Service (SES) Performance Awards (A) (continued)**

### **Criteria (4)**

A nominee must have demonstrated sustained accomplishment for the Meritorious Executive Rank Award and sustained extraordinary accomplishment for the Distinguished Executive Rank Award. (a)

Criteria on which nominees will be evaluated may include, but need not be limited to, those listed below. Specific examples must be cited for each criterion offered. (b)

- Career achievements that are recognized throughout the agency or are acknowledged on a national or international level (i)
- Specific achievement of a significant cost reduction or cost avoidance that enables the agency to reallocate resources to high-priority activities (ii)
- Successful use of human resources as evidenced through high productivity of the workforce and effective development and recognition of subordinates (iii)
- Demonstration of personal initiative and innovation (iv)
- Substantial improvements in quality of work, efficiency, and/or customer service (v)
- Unusual levels of cooperative effort with Federal agencies, governmental jurisdictions, and the private sector (vi)
- Especially successful efforts in encouraging and maintaining a diverse workforce (vii)

In meeting the above criteria and in all other areas cited in support of the nomination, it must be clear that the nominee has demonstrated qualities of strength, leadership, integrity, industry, and personal conduct that have established and maintained a high degree of public confidence and trust. These are not awards to recognize long and faithful service. (c)

### **Procedures (5)**

The Office of Human Resources (HR), in consultation with the Chair, Executive Resources Board, or the Executive Director for Operations,

## **Presidential Executive Rank and Senior Executive Service (SES) Performance Awards (A) (continued)**

### **Procedures (5) (continued)**

coordinates nomination procedures and the submission of agency-approved nominations to the Office of Personnel Management (OPM).

### **Selection Process (6)**

The Director, OPM, coordinates the review process and recommends candidates for rank awards for the President's approval. (a)

An individual nominated for a Distinguished Executive Rank Award will, when consideration for the higher rank award is inappropriate, be considered for a Meritorious Executive Rank Award, if eligible. (b)

Records of approved rank will be placed in the employee's official personnel folder. (c)

### **Award Payment (7)**

Subject to aggregate pay limitations, recipients of a Distinguished Executive Award may receive up to 35 percent of the executive's salary and recipients of a Meritorious Executive Rank Award may receive up to 20 percent of the executive's salary. (a)

Any portion of the award that would cause total compensation to exceed the aggregate pay limitation can be deferred for payment during the following calendar year. (b)

The Director, HR, will coordinate any agency-level recognition ceremonies. (c)

## **NRC's Distinguished Service Award (B)**

The Commission grants NRC's highest award for an individual on a highly selective basis for distinguished service and excellent achievements.

### **Eligibility (1)**

All employees are eligible to receive the NRC's Distinguished Service Award. However, an individual may receive the Distinguished Service Award only once in their career unless the previous award was received before 1988. (a)

## **NRC's Distinguished Service Award (B) (continued)**

### **Eligibility (1) (continued)**

Employees nominated but not selected for this award may be considered for the NRC Meritorious Service Award, if appropriate. (b)

The occasion of an employee's retirement, transfer, or long periods of service do not constitute sufficient basis for this award. (c)

### **Criteria (2)**

This award is granted to an employee who has made unique or notable contributions that clearly distinguish job performance and achievements from those of other highly qualified competent employees in the same areas of work activity, with performance that exceeds the requirements for the Meritorious Service Award. Examples of these contributions include—

- Outstanding activities in direction, leadership, or skill in devising or implementing the operation of a basic NRC program (a)
- Outstanding service and activities in a scientific or technical field contributing to the advancement of nuclear regulatory safety and/or engineering (b)
- Outstanding activities in nontechnical staff functions that provide a major contribution to the management, guidance, and support of NRC operational programs (c)
- Unique and/or notably creative service that is marked by exceptional success in meeting high-level responsibilities in a manner to reflect credit on the NRC (d)

### **Procedures (3)**

The Director, HR, in consultation with the Chairman and the Executive Director for Operations, will coordinate the annual nomination and selection process. (a)

Nominations are reviewed and approved in accordance with Exhibit 1 of this handbook. (b)

## **NRC's Distinguished Service Award (B) (continued)**

### **Award (4)**

The NRC's Distinguished Service Award consists of a citation or scroll signed by the Commissioners; a gold medal inscribed with the recipient's name; a lapel ornament, which is a miniature of the gold medal, and \$10,000 for employees that are not SES or Senior Level System (SLS). SES or SLS members receive a lapel ornament, a gold medal; and a citation or scroll signed by the Commissioners. (a)

The Director, HR, coordinates the presentation of the award at the annual awards ceremony. (b)

## **NRC's Meritorious Service Award (C)**

NRC's second highest award for an individual is granted for meritorious and outstanding achievements or services of an unusual value that substantially contribute to the accomplishment of NRC's missions or assigned major work programs. Such achievements must have agencywide significance.

### **Eligibility (1)**

All permanent employees are eligible. However, an employee may receive the Meritorious Service Award only once in their career unless the previous award was received before 1988.

### **Criteria (2)**

Examples of achievements that should be considered for recognition follow.

- Outstanding results in increased productivity, efficiency, or economy of operations substantially contributing to the accomplishment of NRC programs and missions (a)
- Unusual initiative or teamwork in developing new and improved work methods and procedures that result in substantial savings in staffing, time, space, materials, and other expense items (b)

## **NRC's Meritorious Service**

### **Award (C) (continued)**

#### **Criteria (2) (continued)**

- Performing assigned tasks in such an exemplary manner as to set a record of achievement that will inspire and motivate other employees to improve the quality and quantity of work productivity (c)
- Unusual professional achievements in work advancing an understanding and/or participation in issuing licenses and environment and security requirements that regulate the conditions under which nuclear energy or source material is used and safeguarding the public's health and safety (d)
- Exercising unusual courage or competence while on official duty (e)

#### **Procedures (3)**

The Director, HR, in consultation with the Chairman and Executive Director for Operations, coordinates the annual nomination and selection process. (a)

Nominations are reviewed and approved in accordance with Exhibit 1 of this handbook. (b)

#### **Award (4)**

The NRC's Meritorious Service Award consists of a citation and a certificate signed by the Commissioners; a silver medal inscribed with the recipient's name; a lapel ornament, which is a miniature of the silver medal; and \$6000 in cash for recipients not in the SES/SLS. (a)

The Meritorious Service Award will be presented at the annual awards ceremony. (b)

## **Meritorious Service Award for EEO Excellence (D)**

Beginning in FY 2001, an annual Meritorious Award for EEO Excellence will be awarded to recognize exemplary performance in the implementation of the NRC's EEO program. All NRC employees who have helped advance equal employment opportunity in the agency are eligible to receive this award, including managers, supervisors, EEO committee members and EEO counselors.

## **Meritorious Service Award for EEO Excellence (D) (continued)**

### **Procedures (1)**

Solicitation for this award will be consistent with the solicitation for other meritorious awards and will include input from the EEO Advisory Committees. Nominations for the award should be provided through the EDO to the Commission. The Commission will make the final selection based upon recommendations provided by the staff.

### **Awards (2)**

The NRC Meritorious Award for EEO Excellence consists of a citation and certificate signed by the Commissioners, a silver medal inscribed with the recipient's name, a lapel ornament which is a miniature of the silver medal and \$6000 in cash for non-SES/SLS recipients. (a)

The Meritorious Award for EEO Excellence will be presented at the annual awards ceremony. (b)

## **NRC's Commendation Award (E)**

NRC's highest group performance honor award is granted for significant acts or achievements that materially aid or affect the successful accomplishment of NRC missions and programs. To be considered for this award, the employees' performance would exceed the requirements for recognition by a Certificate of Appreciation.

### **Eligibility (1)**

All employees are eligible.

### **Criteria (2)**

Examples of service or contributions that may be considered for recognition follow.

- Accomplishment of a particularly difficult or important project, assignment, operation, or study that reflects credit on the group or individual contributor, as well as the agency (a)



## **NRC's Commendation**

### **Award (E) (continued)**

#### **Criteria (2) (continued)**

- Outstanding success in working in support of programs to advance the licensing and regulatory aspects of the agency's mission leading to improved safety and safeguards, while upgrading the level of health and safety operations (b)
- Superior accomplishment in fostering agency programs leading to improved efficiency, productivity, and administrative operations (c)
- Demonstration of unusual initiative or creativity in the development and improvement of methods, procedures, or devices resulting in substantial improvement in economy of operations (d)

#### **Procedures (3)**

Nominations may be received at any time. (a)

Nominations and approvals will be made in accordance with the information provided in Exhibit 1 of this handbook. (b)

#### **Award (4)**

The NRC Commendation Award consists of a certificate containing the citation and a lapel pin for each group member. Letters from other officials also may be presented. (a)

The award may be presented at any time but, when appropriate, it should be presented at the annual awards ceremony. (b)

## **NRC's Certificate of Appreciation (F)**

This award is presented to an employee or group of employees who have performed an assignment particularly well, but where the assignment and performance do not warrant a higher level award. This award also may be granted to an employee in recognition of exemplary service on transfer or termination of service at the discretion of the Chairman, EDO, office director, or regional administrator. (1)

This award provides a certificate, and also may include a personalized letter, to the recipient. HR or the regional personnel officer, on notification of the recipient's name and basis for recognition, issues the certificate, which may be presented at any time. (2)

## **NRC's Length-of-Service Recognition (G)**

### **Eligibility (1)**

NRC length-of-service emblems are presented to employees, excluding consultants, in recognition of total creditable Federal service at 5-year increments beginning at the completion of 10 years of service.

### **Nomination (2)**

Employees who are eligible for career service recognition are identified by the employee's total creditable service anniversary date. Total creditable service is all creditable Federal service, including honorable military service.

### **Award (3)**

HR or the regional personnel officer will prepare length-of-service certificates. The appropriate office will present the certificates, letters, and plaques for its employees.

**Less Than 30 Years of Service**—office directors, regional administrators, the EDO, the Inspector General (IG), or Chairman will sign certificates for employees under his or her jurisdiction for presentation at local awards ceremonies. (a)

**Thirty to Thirty-Five Years of Service**—the Chairman will sign all certificates and letters for employees completing 30 to 35 years of service for offices under his or her jurisdiction; EDO will sign for employees under his or her jurisdiction. (b)

**Forty or More Years of Service**—an individually prepared plaque, pin, and letter signed by the Chairman will be presented by the Commissioner, EDO, office director, or regional administrator, as appropriate, in recognition of 40 or more years of service. (c)

## **NRC's Retirement Recognition (H)**

A plaque reflecting the employee's name and years of Federal service is presented to all employees retiring from Federal service, along with a letter from the Chairman, EDO, office director, or regional administrator, as appropriate. Employees will be issued a service pin based on the highest number of years of service, provided that the pin has not been issued previously.

## **Awards From Outside the NRC (I)**

Each year the NRC is invited to submit candidates for various awards made by both private and Government agencies. (1)

HR coordinates a call for nominations in accordance with the specific nominating practices associated with such awards. (2)

The Chairman or EDO approves all nominations for outside awards. (3)

The IG approves all outside awards for employees under his or her jurisdiction. However, the Chairman is the responsible authority for the transmission of these nominations. (4)

## Part III

# Performance Awards

### SES Performance Awards (Bonuses) (A)

Performance or bonus awards are granted in recognition of a high caliber of work performed over the annual rating period. Bonuses cannot be substituted for Executive rank awards. Further information on eligibility, limitations, and procedures regarding Senior Executive Service (SES) performance awards may be found in Management Directive (MD) 10.137, "Senior Executive Service Performance Appraisal System," Handbook Part V.

### Senior Level Performance Awards (B)

#### Eligibility (1)

Within-band pay adjustments and performance-based cash awards are directly linked to performance for senior level (SL) employees based on a threshold eligibility of a performance rating of fully successful.

#### Limitations (2)

It is not expected that every SL employee will receive a performance-based increase each year. These increases are not employee entitlements and should be provided only for those employees whose performance warrants a performance-based increase, just as performance-based bonuses are awarded in the SES. (a)

If an SL employee moves from one band to another during the appraisal period and the supervisor recommends recognition of the employee's performance in the previous (lower) band, a one-time cash award would generally be appropriate rather than a performance-based increase to base pay. (b)

## **Senior Level Performance Awards (B) (continued)**

### **Limitations (2) (continued)**

A performance-based increase to base pay should be considered if performance in the new position warrants and the individual has been in the position for at least 120 days before the end of the appraisal period. A performance-based increase to basic pay cannot exceed the top of the pay band to which the position is assigned. (c)

### **Procedures (3)**

Office directors or regional administrators initiate performance-based increases to basic pay (or cash award recommendations) by annotating the recommendations on the appraisal form. (a)

The NRC Performance Review Board reviews performance-based pay increase and cash award recommendations and can recommend a lump-sum cash performance award, for example, when an employee is at the top of the pay band. (b)

The Inspector General Performance Review Board reviews recommendations for staff in the Office of the Inspector General. (c)

Individual adjustments to base pay that are based on performance can be made only once for each appraisal period. (d)

Award decisions are made in accordance with Exhibit 1 of this handbook. (e)

### **Award (4)**

A performance-based increase is the annual incentive increase, also called a within-band increase, that is approved by the NRC Performance Review Board. This amount can range from 3 percent to 5 percent provided the amount does not exceed the upper limits of the pay band, which would involve setting the base pay higher within the pay band. SLS employees may receive a cash award up to \$5000 in addition to the increase in base pay. (a)

SLS Commissioner assistants may receive a within-band increase of up to 6 percent. These individuals also may receive cash awards up to 15 percent of base pay. (b)

Further information on Senior Level Performance Awards may be found in MD 10.145, "Senior Level System," Handbook Part V(A). (c)

## **Non-SES/Non-SL Performance Awards (C)**

Performance awards are lump-sum payments based on the employee's rating of record for the current appraisal period.

### **Eligibility (1)**

Only employees whose current rating of record is outstanding or excellent may be considered for performance awards. (a)

No employee who has received a High Quality Increase (HQI) Award may receive another performance award for the same period of performance. (b)

### **Criteria (2)**

The supervisor will consider employees with outstanding ratings before considering employees with excellent ratings for performance awards. However, since awards are a prerogative of management and since other factors, such as recency of promotion, also affect award decisions, there will be no automatic or mandatory awards solely on the basis of ratings. (a)

Award recommendations should come at the same time as the rating of record is determined, and that rating will serve as sufficient justification for the award. (b)

In such cases where the rating of record is more than 90 calendar days old, a written justification to the Director of Human Resources (HR), in addition to the most recent rating of record, must accompany the recommendation. (c)

### **Procedures (3)**

Submission, review, and approval of performance awards are made in accordance with Exhibit 1 of this handbook. (a)

The employee's immediate supervisor initiates the award recommendation using a Standard Form (SF) 52, "Request for Personnel Action," concurrent with assigning the rating of record. (b)

Approved nominations are forwarded to HR for review and processing. (c)

Performance awards are documented by an SF 50, "Notification of Personnel Action" in the official personnel folder. (d)

## **Non-SES/Non-SL Performance Awards (C) (continued)**

### **Award (4)**

The amount of the award is determined by using Exhibit 2 of this handbook. (a)

Normally, the employee should be notified of an award by his or her supervisor. (b)

## **High Quality Increase Award (D)**

An HQI is an increase in an employee's rate of basic pay from one rate of the grade to the next higher rate of the same grade.

### **Eligibility (1)**

HQIs may be granted only to employees on the General Salary Schedule (GG) who are covered by the non-SES performance appraisal system. (a)

SES, SL, Wage Grade, and Administratively Determined employees are not eligible. (b)

There are no automatic HQI awards solely on the basis of performance ratings. (c)

Employees whose performance meets all of the requirements for a performance award, including performance that has been sustained at a high level for a sufficient time so that it is considered characteristic (not less than 6 months), and who are expected to continue such performance in the future, may be considered for an HQI. (d)

HQIs may not be granted to employees who meet any of the following situations: (e)

- Are in the maximum step of any grade (i)
- Are not expected to remain for at least 60 days in the same or similar position at the same grade level, have just been promoted, or when a promotion is imminent (ii)
- Are in a controlled training program such as the Intern Program (iii)

## **High Quality Increase Award (D) (continued)**

### **Eligibility (1) (continued)**

- Have been detailed to the position or project for only a short period, e.g., less than 6 months, during the performance period being recognized (iv)
- Have been granted an HQI in the prior 52-week period (v)
- Have been granted a performance award for the same period of performance (vi)
- To resolve personnel problems (vii)

### **Criteria (2)**

A recommendation for an HQI must normally be supported by the employee's most recent rating of record, or when the appraisal is more than 90 days old, by a written statement explaining the reasons for granting the HQI. (a)

Generally, no more than 90 calendar days should elapse from the time of the recommendation until the award is granted, unless it would be to the employee's benefit to delay the HQI for a longer period to take advantage of his or her placement in the waiting period for the next within-grade increase. (b)

### **Procedures (3)**

The employee's immediate supervisor should normally initiate an SF 52, "Request for Personnel Action," through appropriate supervisory levels for the office director or regional administrator to approve. (a)

Approval authority may be delegated no lower than division directors or managers at an equivalent organizational level. (b)

If approved, the deciding official should forward the completed SF 52, "Request for Personnel Action," with supporting documentation, to HR or the regional personnel officer for technical review and processing. (c)



## **High Quality Increase Award (D) (continued)**

### **Award Payment (4)**

The amount of the HQI is determined by the employee's grade level. (a)

An HQI immediately raises the employee's basic rate of pay one step and has possible continuing benefits affecting life insurance and retirement computations. (b)

## Part IV

# Special Recognition Awards

### Awards for Special Acts or Services (A)

This type of recognition is appropriate when an employee or a group of employees performs substantially beyond expectations on a specific assignment or aspect of an assignment or function; for a single scientific achievement, invention, act of heroism, or similar one-time special service; or for an achievement of a nonrecurring nature either within or outside of job responsibilities.

#### Eligibility (1)

All employees or groups of employees, former employees, or the estates of deceased employees are eligible to receive this award provided the special act or service took place while the person was a Government employee. This includes Senior Executive Service (SES) and Senior Level System (SLS) employees.

#### Limitations (2)

For SES members, this award should be considered only in those limited circumstances when a bonus would not be appropriate. A job-related award may be used to recognize a nonrecurring contribution, such as an extraordinary effort on a project not anticipated in the annual performance plan or a scientific achievement that may have culminated after a significant period. (a)

The NRC is prohibited from using this award to circumvent either statutory or regulatory provisions concerning limitations on eligibility for SES performance bonuses, the size of individual performance bonuses, or the total amount of funds available to pay SES performance bonuses. (b)

## **Awards for Special Acts or Services (A) (continued)**

### **Criteria (3)**

The specific achievement must be clearly identified, described, and must make an important direct contribution to the economy and efficiency of Government operations, or directly increase effectiveness in carrying out Government programs or missions. (a)

Achievements can be contributions to science, engineering, management, or other areas of operation that are measurable in terms of specific tangible or intangible benefits. (b)

The achievement must either—(c)

- Be clearly outstanding and of a nonrecurring, nonsustained nature (i)
- Involve the voluntary risk of life or personal safety to prevent loss of life or substantial damage to property (ii)

### **Procedures (4)**

The employee's immediate supervisor normally initiates a nomination for this award on a Standard Form (SF) 52, "Request for Personnel Action." (a)

Nominations are reviewed and approved in accordance with Exhibit 1 of the handbook. (b)

Any employee may nominate another employee for an award if the employee-sponsor has personal knowledge of a specific outstanding contribution and if the supervisor of the nominee concurs. (c)

A specific statement of achievement is sufficient as the justification. (d)

### **Award (5)**

Award amounts are processed in accordance with the table in Exhibit 3 of this handbook. Any exceptions must be approved by the Chairman, Executive Director of Operations (EDO), or Inspector General (IG), as appropriate.

## **Employee-of-the-Month Award (B)**

Although this is not an officially recognized NRC award category, the goal of recognizing one employee each month for outstanding contributions or achievements can be accomplished under the Special Act award category in those offices wishing to designate one such employee each month. The employee so honored should be identified in the office awards event as the local employee of the month. (1)

The SF 52 requesting the employee-of-the-month award should be accompanied by a brief justification for the award, citing the employee's specific accomplishments that exceed expectations sufficiently to warrant the employee-of-the-month designation. The SF 52 should indicate the desired net amount of the award, although the gross amount of the award will be reflected on the employee's SF 50 (as is currently done for Instant Cash awards). Bear in mind that Special Act awards are designed to recognize performance that is "substantially beyond expectations," or for a "single scientific achievement, invention, act of heroism, or similar one-time special service." The amount requested for employee-of-the-month Special Act awards should generally be in the \$300 to \$500 range. (2)

Representatives of the Office of Human Resources (HR) and the regional human resources offices will monitor these awards to ensure that only one such net-amount Special Act award per month per office is authorized as the employee-of-the-month award. (3)

## **Instant Cash Awards (C)**

Instant cash awards are a type of special act or service award designed to recognize quickly one-time and short-term efforts by employees that result in service of an exceptionally high quality or quantity. These awards are designed to provide immediate recognition for a job well-done.

### **Eligibility (1)**

All employees covered by the Office of Personnel Management (OPM) regulations (Title 5 of the *Code of Federal Regulations* [CFR]) are eligible for these awards (e.g., SES, SLS, consultants).

## **Instant Cash Awards (C) (continued)**

### **Criteria (2)**

These awards are appropriate for rewarding employee efforts that might go unrecognized. They are appropriate for employees who “go the extra mile” or who perform “above and beyond the call of duty,” for example—

- Employees producing exceptionally high quality work under tight deadlines (i)
- Employees performing added or emergency assignments in addition to their regular duties (ii)
- Employees demonstrating exceptional courtesy or responsiveness in dealing with clients or colleagues (iii)
- Employees exercising extraordinary initiative or creativity in addressing a critical need or difficult problem (iv)

### **Limitation (3)**

Instant cash awards should not be used when monetary awards of a greater value are merited.

### **Procedures (4)**

#### **Nominating Office (a)**

The supervisor/manager submits an SF 52, “Request for Personnel Action,” for the instant cash award nomination (up to a net amount of \$300) directly to the Payroll Operations Team, Office of the CFO (OCFO), Room T-9 G1. Regional offices should fax their SF 52s to Payroll Operations with the original to follow via NRC mail. Nominations must be received in Payroll Operations by 12:00 noon and will normally be transferred electronically to the recipient’s bank account within 2 business days. (i)

The nominating office will prepare a certificate to be given to the recipient. The certificate can be found under the Informs icon. The title of the form is “Instant Cash Award,” NRC Form 645. (ii)

## **Instant Cash Awards (C) (continued)**

### **Procedures (4) (continued)**

#### **Payroll Operations Team (b)**

Upon receiving the SF 52, Payroll Operations processes the award payment. (i)

Payroll Operations sends an email to the nominating supervisor/manager advising them that an instant cash award is being processed for the employee. The message will include the recipient's name, amount, office designation, and approximate date of the electronic financial transfer payment. (ii)

Payroll Operations mails a separate earnings and leave statement to the employee along with the next regular earnings and leave statement. (iii)

Payroll Operations calculates the gross amount of the instant cash award and documents the SF 52. The SF 52 is then sent to HR servicing team to process an SF 50, Notification of Personnel Action. (iv)

#### **Office of Human Resources (c)**

Upon receiving the SF 52 designating the gross amount of the instant cash award, HR processes an SF 50 and forwards the employee's copy to the appropriate office contact.

## **Time-Off Awards (D)**

Time-off awards are given to increase the productivity and creativity of NRC employees by rewarding their contributions to the quality, efficiency, or economy of Government and NRC operations. These awards—

- Are granted without loss of pay or charge to leave (a)
- Do not convert to a cash payment under any circumstances (b)
- Cannot be transferred when an employee transfers from one Federal agency to another (c)

## **Time-Off Awards (D) (continued)**

### **Eligibility (1)**

Time-off awards can be granted to any NRC employee except administrative law judges, experts, and consultants who are excluded by regulation, and administrative judges, who are excluded by agency policy.

### **Criteria (2)**

These awards are appropriate for any of the following circumstances:

- A high-quality contribution involving a difficult or important project or assignment (a)
- Special initiative and skill in completing an assignment or project before deadline (b)
- Initiative and creativity to improve a product, activity, program, or service (c)
- Successful completion of additional work or a project assignment while maintaining a regular workload to ensure that the mission of the unit is accomplished during a difficult period (d)

### **Limitations (3)**

Time-off awards are not to be used as substitutes for performance awards for employees or to circumvent the statutory limitations placed on the granting of performance awards for SES members. (a)

An employee may be granted a maximum of 40 hours of time off from duty for any single contribution. (b)

A total amount of time off that may be granted to an employee during any leave year is 80 hours. (c)

### **Procedures (4)**

The immediate supervisor initiates a recommendation for a time-off award using an SF 52. (a)

Review and approval of award nominations are made in conformance with Exhibit 1 of this handbook. (b)

## **Time-Off Awards (D) (continued)**

### **Procedures (4) (continued)**

To determine the amount of time off to be granted, the recommending official and deciding official consider the benefits realized by the Government and/or the NRC from the employee's contribution. (c)

Once the approving official has approved the nomination, documentation is forwarded to HR or the RPO for review and processing. The remarks section of the Form SF 50 is annotated to state "You have been granted \_\_\_ hours of time off without charge to leave or loss of pay." (d)

A copy of the documentation, including the SF 50, is forwarded to the Payroll Operations Team, OCFO. (e)

### **Award (5)**

Use of the time off granted is subject to approval by the employee's immediate supervisor.

## **Non-Monetary and Informal Recognition Awards (E)**

Non-monetary and informal recognition awards may be given to recognize significant individual or team contributions that would not merit formal recognition.

### **Eligibility (1)**

Any employee or group of employees may be eligible for an informal recognition award.

### **Criteria (2)**

No exact dollar amount is set; however, informal recognition awards must not exceed nominal value. (a)

Non-monetary awards should be items of nominal value that are customarily used or displayed in the workplace and, through suitable imprinting, are readily recognizable as an NRC award. These awards may include such utilitarian items as appropriately inscribed coffee mugs, caps, pens, and desk sets, as well as commemorative medals, plaques, and certificates. (b)



## **Non-Monetary and Informal Recognition Awards (E) (continued)**

### **Limitations (3)**

Informal non-monetary awards are not to be used as substitutes for performance awards for employees or to circumvent the statutory limitations placed on the granting of other types of awards.

### **Procedures (4)**

Normally, the immediate supervisor initiates a recommendation for an informal award for his or her staff members using the appropriate procedure as established within the office or region. However, any supervisor or manager may initiate a recommendation for an informal award. Review and approval of award nominations will be made in accordance with Exhibit 1 of this handbook.

## **Suggestion Program (F)**

The suggestion program is intended to recognize and reward employees, either individually or collectively, for suggestions that directly contribute to productivity, economy, or efficiency, or that directly increase effectiveness in carrying out NRC or Government programs.

### **Eligibility (1)**

An employee or group of employees may be eligible for an award if the suggestion is adopted in whole, in part, or in modified form.

### **Criteria (2)**

#### **Suggestions Acceptable for Consideration (a)**

A suggestion that duplicates an idea, method, or device used elsewhere is eligible if the suggestion was not used by the organization concerned until suggested by the employee. (i)

A suggestion that concerns a matter already under study or in developmental stages may be eligible for an award if the evaluator considers the suggestion to be a unique innovation. (ii)

A suggestion within the employee's job responsibilities if it is so superior or meritorious as to warrant special recognition and the suggester does not have the authority to put it into effect. (iii)

## **Suggestion Program (F) (continued)**

### **Criteria (2) (continued)**

#### **Suggestions Not Acceptable for Consideration (b)**

A suggestion that substantially duplicates the subject matter, procedure, or method of another suggestion previously approved, adopted, or being considered for adoption.

### **Procedures (3)**

Supervisors should encourage and assist in the development and preparation of their employees' suggestions. However, suggestions may be submitted directly to the suggestion program administrator if an employee prefers to do so. (a)

Suggestions should be submitted on NRC Form 363, "Employee Suggestion." (b)

The suggestion must clearly indicate the following information: (c)

- What the idea or proposal is, and its relationship to existing practice or procedure, if any (i)
- How it will work in sufficient detail to permit evaluation (ii)
- The benefits that will accrue to the Government if it is adopted (iii)

The official having jurisdiction over the function(s) to which the suggestion pertains will have it evaluated, using NRC Form 364, "Evaluation of Suggestion," to determine and/or assess the overall benefits to the NRC. A copy will be sent to the employee. (d)

If the suggestion is not adopted, the suggester will be provided written notification of nonadoption. If the suggester wishes to resubmit the suggestion with new information, to support the benefits, he or she may do so. (e)

If the suggestion is to be adopted, the office director or regional administrator, or his or her designated representative, will complete SF 52 and will submit it, along with NRC Form 364 to HR. (f)

If the suggestion appears patentable, the evaluator recommends to HR that a copy be sent to the Office of the General Counsel. The suggester should be notified of the status of such referrals. (g)

## **Suggestion Program (F) (continued)**

### **Procedures (3) (continued)**

HR coordinates referral of suggestions to other agencies for review, when applicable, and processes suggestions referred by OPM or other agencies in accordance with normal procedures. (h)

### **Award Payment (4)**

Cash awards are given for officially adopted suggestions having tangible and/or intangible benefits that will accrue during the first full year that the suggestion is in operation. A cash award will not be paid until the approved suggestion has been placed in effect. (a)

Monetary savings are based on the estimated net savings for the first full year the suggestion is in actual operation (exclusive of trial periods, experimentation, or other periods of deferred implementation). An exception may be made when there are high installation costs and savings will occur for more than 1 year. In this case, the award may be based on the net average annual savings of not more than 3 years, which should not exceed either the reasonable life of the initial suggestion, the predictable period or use, or the value to be accrued, whichever is shorter. When a suggestion is based on actual operation of less than a full year, the amount of the award is based on the known benefits and savings that accrue during its actual use. When there are doubts as to the full monetary benefits produced by a suggestion, HR will review the status 1 year after the suggestion has been installed to determine whether a supplemental award should be made. (b)

Intangible benefits are determined by the extent of the application of the suggestion, its significance, and the importance of the programs affected. (c)

Acceptance of a cash award constitutes an agreement that the Government's use 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, heirs, or assigns. (d)

Any exceptions to the award scales must be approved by the Chairman, EDO, or IG, as appropriate. (e)

Approval and certification of each suggestion and cash award will be based on documentation showing clearly how the suggestion or achievement meets the criteria for a cash award. The OCFO uses this

## **Suggestion Program (F) (continued)**

### **Award Payment (4) (continued)**

documentation as the basis to make payment after deducting from each cash award income tax, Medicare tax, and, where applicable, FICA (Social Security) contributions. (f)

HR coordinates the processing of suggestions that have been adopted, including initiating and obtaining certificates and payments. (g)

## **Gainsharing Program (G)**

Employees who obtain free airline tickets for official NRC travel by redeeming frequent flyer mileage credits are eligible to receive an award for 50 percent of the savings to the Government. Gainsharing awards are subject to applicable income taxes and will be directly deposited to the same bank account that is used for the employee's pay. A gainsharing award will not affect an employee's consideration for other agency incentive awards. See NRC Management Directive 14.1, "Official Temporary Duty Travel," Part 4, Section 4.3.3, for further information.

**Volume 10, Part 3 – Performance Appraisals, Awards, and Training  
Incentive Awards  
Handbook 10.72 Exhibits**

**Exhibit 1**

**Approval Authorities for Awards**

<b>Award</b>	<b>Nominating Official</b>	<b>Reviewing Official</b>	<b>Recommending Official</b>	<b>Deciding Official</b>
<b>Agency Level and Governmentwide Awards</b>				
<b>Presidential Executive Rank and Awards for the Senior Executive Service (SES)</b>	Office director or regional administrator	Director, Office of Human Resources (HR), coordinating for Chair, Executive Resources Board (ERB), or Executive Director for Operations (EDO)	Commission	Office of Personnel Management (OPM)/President
<b>NRC Distinguished and Meritorious Service Awards</b>	Office director or regional administrator	HR	Agency panel	Commission
<b>NRC Commendation Award</b>	Supervisor	HR or Regional Personnel Officer (RPO)	Office director or regional administrator	Chairman or EDO
<b>Certificate of Appreciation</b>	Manager	HR or RPO	N/A	Chairman, EDO, office director, or regional administrator, as appropriate
<b>Non-Monetary and Informal Award</b>	Supervisor Manager	HR, RPO, or Inspector General (IG)	N/A	Chairman, EDO, office director, or regional administrator, as appropriate
<b>NRC Length-of-Service Recognition</b>	N/A	HR or RPO	N/A	Office director, regional administrator, EDO, or Chairman, as appropriate
<b>NRC Retirement Recognition</b>	N/A	HR or RPO	N/A	Office director, regional administrator, EDO, or Chairman, as appropriate
<b>Awards from outside the NRC</b>	Office director or regional administrator	Director, HR	EDO	EDO or Chairman
<b>SES Performance Awards (Bonuses)</b>	Supervising executive	Director, HR, Inspector General (IG)	SES Performance Review Board	Commission or IG

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**Exhibit 1 (continued)**

<b>Award</b>	<b>Nominating Official</b>	<b>Reviewing Official</b>	<b>Recommending Official</b>	<b>Deciding Official</b>
<b>Performance Awards*</b>				
Senior Level Performance Awards	Commissioner or Supervising executive	Director, HR, office director for others except IG	Performance Review Board, or IG Senior Level Review Panel, Commissioner assistants do not require panel review	Chairman, Commissioners, EDO or IG
Non-SES/Senior Level System (SLS) Performance Awards	Supervisor	Director, HR, IG	Where required normally the second level supervisor	Normally reviewing official responsible for performance appraisal decision
High Quality Increase	Supervisor	HR	N/A	Normally reviewing official responsible for performance appraisal decision
<b>Special Recognition Awards</b>				
<b>Special Act or Service Awards**</b>				
For individuals up to and including \$4000	Supervisor	N/A	N/A	Office director, regional administrator, or IG
For groups up to and including \$6000	Supervisor	N/A	N/A	Office director, regional administrator, or IG
For individuals or groups up to and including \$7500	Supervisor	N/A	Office director or regional administrator	Chairman, EDO, or IG
For individuals or groups from \$7501 to \$9999	Supervisor	Office director or regional administrator	EDO or IG	Chairman or IG
For individuals or individual members of a group from \$10,000 to \$24,999	Supervisor	Office director or regional administrator	EDO or IG	Chairman with OPM concurrence
For individuals or individual members of a group from \$25,000 and above	Supervisor	Office director or regional administrator	EDO or IG	Chairman with Presidential approval
*Authority of office directors and regional administrators is limited to \$4000 for performance awards.				
**Special Act Awards for SES/SLS members must be reviewed and recommended by the Performance Review Board (PRB) and approved by the deciding official as shown above for performance awards.				

**Volume 10, Part 3 – Performance Appraisals, Awards, and Training  
Incentive Awards  
Handbook 10.72 Exhibits**

**Exhibit 1 (continued)**

<b>Award</b>	<b>Nominating Official</b>	<b>Reviewing Official</b>	<b>Recommending Official</b>	<b>Deciding Official</b>
<b>Special Recognition Awards (continued)</b>				
<b>Instant Cash Awards</b>	Supervisor	N/A	N/A	Office director, regional administrator, or IG
<b>Time-Off Awards for 1 day or up to 5 days but not to exceed 40 hours</b>				
<b>Immediate staff of the Chairman or Commissioners</b>	Chairman or Commissioner	Director, HR*	N/A	Chairman or Commissioner
<b>Commission level offices</b>	Immediate supervisor	Director, HR*	N/A	Office director
<b>OIG</b>				
1 day or less	Team leader	Director, HR*	N/A	Assistant IG
2-5 days not to exceed 40 hours	Assistant IG	Director, HR*	N/A	IG
<b>EDO staff offices</b>	Immediate supervisor	Director, HR*	N/A	Office director or regional administrator
<b>Suggestion</b>	Employee	Director, HR for coordination or IG	Technical recommendation by official having jurisdiction over the function(s) to which the suggestion pertains	Office director or regional administrator if adoption is recommended
*The HR technical review of all time-off awards occurs after the decision by the deciding official.				

**Exhibit 2**  
**Scale for Performance Awards Other Than  
Senior Executive Service/Senior Level Service**  
(The Availability of These Awards is Subject to Funding Constraints)

<b>Performance Appraisal Summary Rating</b>	<b>Amount of Award*</b>
Outstanding	Up to 15% of base salary
Excellent	Up to 10% of base salary

In determining the percentage of base salary to be used, consideration should be given to the difficulty of the job, caliber of performance plan, recent promotions, and relative cash values of the award compared with other monetary recognition. Lower percentages of base salary would be appropriate in most instances.

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\*The authority of office directors and regional administrators is limited to \$4000 for performance awards. For dollars amounts exceeding \$4000, see Exhibit 1.



### Exhibit 3

## Award Scales for Suggestions and Special Acts or Services With Tangible Benefits

**Table I**  
 For Suggestions and Special Acts or Services with Tangible Benefits

Benefits	Award	Benefits	Award	Benefits	Award	Benefits	Award	Benefits	Award
Up to \$10,000 10%		50,000	2,200	90,000	3,400	170,000	4,050	1,800,000	12,200
11,000	1,030	51,000	2,230	91,000	3,430	175,000	4,075	1,900,000	12,700
12,000	1,060	52,000	2,260	92,000	3,460	180,000	4,100	2,000,000	13,200
13,000	1,090	53,000	2,290	93,000	3,490	185,000	4,125	2,100,000	13,700
14,000	1,120	54,000	2,320	94,000	3,520	190,000	4,150	2,200,000	14,200
15,000	1,150	55,000	2,350	95,000	3,550	195,000	4,175	2,300,000	14,700
16,000	1,180	56,000	2,380	96,000	3,580	200,000	4,200	2,400,000	15,200
17,000	1,210	57,000	2,410	97,000	3,610	205,000	4,225	2,500,000	15,700
18,000	1,240	58,000	2,440	98,000	3,640	210,000	4,250	2,600,000	16,200
19,000	1,270	59,000	2,470	99,000	3,670	215,000	4,275	2,700,000	16,700
20,000	1,300	60,000	2,500	100,000	3,700	220,000	4,300	2,800,000	17,200
21,000	1,330	61,000	2,530	101,000	3,705	225,000	4,325	2,900,000	17,700
22,000	1,360	62,000	2,560	102,000	3,710	230,000	4,350	3,000,000	18,200
23,000	1,390	63,000	2,590	103,000	3,715	235,000	4,375	3,100,000	18,700
24,000	1,420	64,000	2,620	104,000	3,720	240,000	4,400	3,200,000	19,200
25,000	1,450	65,000	2,650	105,000	3,725	245,000	4,425	3,300,000	19,700
26,000	1,480	66,000	2,680	106,000	3,730	250,000	4,450	3,400,000	20,200
27,000	1,510	67,000	2,710	107,000	3,735	255,000	4,475	3,500,000	20,700
28,000	1,540	68,000	2,740	108,000	3,740	260,000	4,500	3,600,000	21,200
29,000	1,570	69,000	2,770	109,000	3,745	265,000	4,525	3,700,000	21,700
30,000	1,600	70,000	2,800	110,000	3,750	270,000	4,550	3,800,000	22,200
31,000	1,630	71,000	2,830	111,000	3,755	275,000	4,575	3,900,000	22,700
32,000	1,660	72,000	2,860	112,000	3,760	280,000	4,600	4,000,000	23,200
33,000	1,690	73,000	2,890	113,000	3,765	285,000	4,625	4,100,000	23,700
34,000	1,720	74,000	2,920	114,000	3,770	290,000	4,650	4,200,000	24,200
35,000	1,750	75,000	2,950	115,000	3,775	295,000	4,675	4,300,000	24,700
36,000	1,780	76,000	2,980	116,000	3,780	300,000	4,700	4,400,000	25,200
37,000	1,810	77,000	3,010	117,000	3,785	305,000	4,725		
38,000	1,840	78,000	3,040	118,000	3,790	310,000	4,750		
39,000	1,870	79,000	3,070	119,000	3,795	315,000	4,775		
40,000	1,900	80,000	3,100	120,000	3,800	320,000	4,800		
41,000	1,930	81,000	3,130	125,000	3,825	325,000	4,825		
42,000	1,960	82,000	3,160	130,000	3,850	330,000	4,850		
43,000	1,990	83,000	3,190	135,000	3,875	335,000	4,875		
44,000	2,020	84,000	3,220	140,000	3,900	340,000	4,900		
45,000	2,050	85,000	3,250	145,000	3,925	345,000	4,925		
46,000	2,080	86,000	3,280	150,000	3,950	350,000	4,950		
47,000	2,110	87,000	3,310	155,000	3,975	355,000	4,975		
48,000	2,140	88,000	3,340	160,000	4,000	360,000	5,000		
49,000	2,170	89,000	3,370	165,000	4,025	365,000	5,025		

\*Awards over \$10,000 require the approval of the Office of Personnel Management.

\*\*Maximum award authorized by the Office of Personnel Management. With Presidential approval, the award may exceed \$25,000.

The minimum award for tangible benefits may be granted only when the benefits reach or exceed \$250.

When a contribution has both tangible and intangible benefits, the amount of award is based on the total value of the contribution to the Government.

## Exhibit 4

### Award Scales for Suggestions and Special Acts or Services With Intangible Benefits

Table II  
 For Suggestions and Special Acts or Services With Intangible Benefits

Value of Benefits	Extent of Application			
	Limited	Extended	Broad	General
	Affects functions, mission, or personnel of one office, facility, installation, or an organizational element of 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 or command. May be applicable to all of an independent agency or a large bureau.  Affects a broad area 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 abroad.
<b>MODERATE VALUE--</b> 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.	\$25-100	\$100-250	\$250-500	\$500-1000
<b>SUBSTANTIAL VALUE--</b> Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.	\$100-250	\$250-500	\$500-1000	\$1000-2500
<b>HIGH VALUE--</b> 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.	\$250-500	\$500-1000	\$1000-2500	\$2500-5000
<b>EXCEPTIONAL VALUE--</b> Initiation of anew principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$500-1000	\$1000-2500	\$2500-5000	\$5000-10,000

When a contribution has both tangible and intangible benefits, the amount of award is based on the total value of the contribution to the Government.