



POLICY STATEMENT

Policy Statement 451.3

Policy Area: Human Resources

Effective Date: **AUG 02 2004**

Approved: *Paul A. Quander, Jr.*
Paul A. Quander, Jr., Director

INCENTIVE AWARDS AND RECOGNITION PROGRAM

I. COVERAGE

This Policy Statement revises the incentive awards and recognition program, which is applicable to all Court Services and Offender Supervision Agency (“CSOSA” or “Agency”) managers, management officials, supervisors, staff, and the CSS-CSO bargaining unit except the Director, Deputy Director, Associate Directors and other senior level (SL) staff. This Policy Statement does not apply to the Pretrial Services Agency.

II. BACKGROUND

CSOSA’s incentive awards and recognition program acknowledges successful and meritorious performance within the applicable limits set by Office of Personnel Management (OPM) regulations and General Accounting Office (GAO) decisions. Any awards issued under this Policy Statement are intended to reinforce the critical importance of successful performance.

CSOSA’s incentive awards and recognition program provides for an Agency-wide annual ceremonial event to foster public recognition of exemplary employee performance. However, other awards may be recommended, approved, and paid at any time during the year. This enables managers and supervisors to provide prompt recognition to employees for their contributions to CSOSA. Such awards will not be part of the annual awards ceremony.

III. POLICY

The Agency’s incentive awards and recognition program provides for six types of awards and recognition: performance-based cash awards, special achievement cash awards, Quality Step Increases (QSIs), “On-the-Spot” cash awards, “Time-Off” awards, and a variety of non-monetary forms of recognition.

It is the policy of the Agency to establish an annual budget within projected budget restrictions for all awards referenced in this Policy, the administrative expenses for an annual agency-wide awards ceremony, and the necessary resources for non-monetary employee recognition. Additionally, it is the policy of the CSOSA not to unlawfully discriminate in any of its personnel policies or practices based on race, color, gender, religion, national origin,

age, disability, or sexual orientation.

IV. AUTHORITIES, SUPERSEDESURES, REFERENCES, AND ATTACHMENTS

A. Authorities.

5 U.S.C., Chapters 43 and 45

5 C.F.R., Part 451

B. Supersedures.

HRD 451.2 (July 24, 2001)

HRD 451.3 (April 15, 2003)

C. Procedural References.

None

D. Attachments.

Appendix A. Responsibilities

Appendix B. Definitions

Appendix C. General Procedures

Appendix D. CSOSA Incentive Award and Recognition Program Form

Appendix E. On-the-Spot Award Form

Appendix F. Time-Off Award Form

Appendix G. Incentive Award Declining Balance Report Form

**APPENDIX A
RESPONSIBILITIES**

- A. The Director is responsible for setting general policies governing the incentive awards and recognition program and for allocating adequate funding for awards within projected budget restrictions.
- B. The Director or Deputy Director is responsible for review and approval of all performance-based awards, special achievement awards and QSI's. Associate Directors/General Counsel are delegated the authority to approve "On-the-Spot" and "Time-Off" awards.
- C. Associate Directors/General Counsel are responsible for developing and securing approval of the performance goals that will serve as the basis for measuring performance in their organizations and for determining what levels of performance warrant special recognition. They are also responsible for identifying ways to recognize and reward employees whose performance is exemplary and for creating an environment where employees are valued for their contributions. Associate Directors/General Counsel are specifically responsible for identifying and recommending those employees whose performance warrants cash awards pursuant to this Policy Statement, for determining the proposed amounts of the awards and for providing non-monetary recognition where appropriate.
- D. The Associate Director, Office of Human Resources (OHR) is responsible for overall implementation of this program, to include developing and maintaining necessary procedures for the administration of the incentive compensation system, providing advice and guidance to managers who wish to nominate an employee for a performance award, monitoring and guiding employee recognition efforts, and processing personnel actions approved pursuant to this Policy Statement.
- E. OHR and OFM jointly administer and allocate approved awards funding.

**APPENDIX B
DEFINITIONS**

- A. Award - Formal recognition of an employee or team achievement that contributes to meeting organizational and Agency goals or improving the efficiency, effectiveness or economy of the Agency.
- B. Awards Screening Panel - A special committee appointed by the Director and charged with the responsibility of evaluating award nominations and making recommendations for the special Agency awards (e.g., Employee of the Year, Unsung Hero awards) and for individual awards exceeding \$2,500. The Awards Screening Panel will be comprised of three to five members and will include representatives from various Agency components.
- C. Performance Awards - Cash awards based on an employee's performance of regularly assigned duties as documented by the most recent rating of record.
- D. Special Achievement Award - A lump-sum cash award made to an individual or team who achieves noteworthy or meritorious performance results on a special project or under unusually difficult, complex or arduous circumstances. Special achievements normally involve non-recurring projects and/or assignments that are outside of the normal duties of the employee's position.
- E. Quality Step Increase (QSI) - An additional within-grade increase of one step based on performance that *Exceeded Expectations*. Only one QSI within a twelve-month period may be granted and the employee's performance must be documented in a current performance rating.
- F. On-the-Spot Award - Cash awards not to exceed \$200.00, in recognition of a special effort or accomplishment. On-the-Spot awards are designed to provide prompt recognition.
- G. Time-Off Award (TOA) - An award that permits an individual to be excused from duty during official work hours without charge to leave. A TOA is in recognition of a special effort or accomplishment.
- H. Non-monetary Employee Recognition - Formal or informal recognition of an employee's performance rewarded in a non-cash manner (see Section H of Appendix C for a listing of non-monetary awards).
- I. Team Awards - Managers are encouraged to consider team or group awards. Teams can be formal or temporary organizational elements, ad-hoc work groups, committees or task forces. Such awards may be warranted when a CSO Team, task force or other identifiable group in the Agency works together on a significant case or project and they achieve an important goal under difficult circumstances.

APPENDIX C GENERAL PROCEDURES

A. BASIC AWARD ELIGIBILITY

The following minimum criteria have been established to determine basic employee eligibility for the various types of awards. Specific requirements and effects associated with different types of awards make the review of the employee's particular situation a crucial part of selecting the most appropriate award. The supervisor submits a *CSOSA Award Recommendation Form* (Appendix D) and is responsible for assuring that each nominated employee meets the requirements for the particular award being recommended.

(1) Minimum requirements for **Performance Award** nominee:

- current performance rating of *Fully Met Expectations*,
- no performance award or QSI received within the last twelve month period, and
- employee conduct reflecting the high standards of a law enforcement agency.

(2) Minimum requirements for **QSI** nominee:

- at least one year of service with a current performance rating at the *Exceeds Expectations* level,
- probability that the high level of performance will continue,
- no performance award or QSI received within the last twelve month period, and
- employee conduct reflecting the high standards of a law enforcement agency.

(3) Minimum requirements for **Special Achievement Award** nominee:

- at least 90 days of service that "fully meet" all performance expectations,
- specific act or service (not overall performance) to be recognized, and
- employee conduct reflecting the high standards of a law enforcement agency.

(4) Minimum requirements for a **Group or Team Award** nominee:

- group or team membership for at least 90 days (except for *ad hoc* teams),
- significant contributions made on a case or project and/or under difficult circumstances, and
- employee conduct reflecting the high standards of a law enforcement agency.

Note: If someone other than the employee's current supervisor is making an award recommendation, the recommending official shall provide a copy of the award recommendation to the employee's current supervisor.

(5) Minimum requirements for **Time-Off Award** nominee:

- high-quality contribution involving a difficult or important project or assignment,
- display of initiative and creativity in making improvements in a product, activity, program, or service, or
- demonstration of special initiative in completing an assignment or project before a deadline.

(6) Minimum requirements for **Unsung Hero Award** nominee:

- displays extraordinary effort in performing tasks that are beyond normal job duties,
- shows enthusiasm and initiative, and displays a customer-oriented attitude,
- unselfishly shares his/her time and expertise,
- consistently and willingly extends a helping hand,
- the action for the Unsung Hero Award was performed during the current fiscal year and for an extended period of time, and
- emphasis is on long term.

(7) Minimum requirements for **Employee of the Year Award** nominee:

- at least one year of service with a current performance rating at the *Fully Met* level,
- makes significant contributions to the improvement of operational or program effectiveness, efficiency, of productivity,
- demonstrates outstanding support of organizational programs or operations through extraordinary performance or achievements, and
- makes significant contributions to the accomplishment of CSOSA's organizational goals, objectives, and/or mission.

B. BASIC AWARD ELIGIBILITY

- (1) CSOSA's annual awards budget will depend on amounts approved in the overall Agency budget. OHR and the Office of Financial Management (OFM) will develop Annual awards funding estimates/requests for presentation to the Director. The Director will determine the approved annual funding amount based on the overall Agency budget and financial priorities.
- (2) Each Associate Director/General Counsel will be apportioned an awards budget by OFM. All performance awards, excluding the Employee of the Year Award and the Unsung Award, will be paid from that awards budget.
- (3) OFM and OHR jointly provide overall oversight for the awards budget, but the General Counsel and individual Associate Directors are responsible for managing their awards within allocated budgets and ensuring that awards are equitably distributed.

C. CASH AWARD DETERMINATIONS

- (1) **Performance-Based Cash Awards** may be paid to recognize overall performance during the rating period, as documented in the annual performance rating. Employees rated at the “Fully Met Expectations” level or higher may receive cash awards. However, awards are in no case automatic; nor are they an entitlement. Awards are reserved to recognize significant performance accomplishments or contributions by either an individual or team.
 - a. The amount of cash awards is determined by the Director or designee, but may not exceed 10 percent of the employee’s annual rate of basic pay. Award amounts may be based on a percentage of base salary. For purposes of computing an award that is paid as a percentage of basic pay under 5 U.S.C. § 4505a(a)(2)(A), the rate of basic pay used is determined without taking into account any locality-based comparability payment under 5 U.S.C. § 5304 or special law enforcement adjustment under Section 302 or 404 of the Federal Employees Pay Comparability Act of 1990.
 - b. The specific schedule for the submission of ratings and performance-based cash award recommendations will be announced each year by OHR. Award recommendations must be submitted via management channels through the Associate Director/General Counsel, and are forwarded to the OHR for review and forwarding to the Director or designee for final approval.
- (2) **Special Achievement Awards** may be made at any time during the fiscal year based on noteworthy or meritorious accomplishments. Special Achievement awards are given to recognize a specific act or service. This might include work performed on a difficult case, a complex assignment, a highly visible project, or work performed under unusually difficult, complex or arduous circumstances. Recommendations are submitted via management channels to the Associate Director/General Counsel.
- (3) **Employee of the Year Award** - There shall be two recipients; one awardee shall be from the Office of Community Supervision Services and the other from the Office of the Director. This award acknowledges special efforts made by an employee, such as notable acts of customer service, completing a special work project of extraordinary quality or under critical time constraints, or a similar act, which demonstrates a commitment to excellence and public service. The Employee of the Year award will include a cash payment of \$3,000, an Agency certificate, and placement of the recipient’s name on a plaque to be prominently displayed in the Agency.
- (4) **Unsung Hero Award** – The Unsung Hero Award recognizes employees who have made positive “behind-the-scenes” contributions to the Agency. This award acknowledges contributions that would not normally be recognized by other types of formal awards, such as Special Act or Team Awards. The Unsung Hero Award will include a cash payment of \$1,000 and will be given for the actual planning or performance of duties, tasks or projects, rather than for the supervision or management of those functions. All

employees including managers and supervisors are eligible to receive this award.

D. QUALITY STEP INCREASES (QSI)

A QSI is a very significant form of recognition. The employee receives an additional within-grade increase and its effect is cumulative over the years and may impact an employee's TSP earnings and retirement annuity. Only one QSI can be granted in a twelve-month period. The minimum requirements for a QSI are a performance rating at the "Exceeded Expectations" level and a reasonable expectation that the high level of performance will continue. QSI's are recommended by sending a justification memorandum through channels to the Associate Director/General Counsel, with a copy of the latest performance rating attached. Upon approval, the QSI will be forwarded to OHR for processing.

E. ON-THE-SPOT AWARDS

On-the-Spot (Spot) awards are designed to provide *prompt* recognition of a special effort or accomplishment. When a supervisor observes or is presented with documentation of an employee's notable act of customer service, courtesy, diligence or special effort, the supervisor is encouraged to complete an *On-the-Spot Award Recommendation Form* (Appendix E) and submit it to the appropriate Associate Director/General Counsel for review and approval. "Spot" awards are paid in \$50.00 increments and may not exceed \$200.00. Upon approval, the award will be submitted to OHR with a completed *On-the-Spot Award Declining Balance Report Form* for budget clearance (Appendix G). Approved awards must be submitted to OHR for processing. The form will be forwarded to OFM for funding approval prior to being processed by OHR. The award amount is "grossed-up" so the net amount received by the employee after taxes is the amount approved by the Associate Director/General Counsel.

F. TIME-OFF AWARDS

- (1) Paid time-off is another way to recognize an employee's commitment to the success of the Agency. Time-off awards should not be granted to employees in positions or units where the workload is so heavy or demanding that requests for approved absences are frequently denied or the absence of an employee would adversely affect efficient operations. In light of CSOSA staff workloads and the need to accomplish the Agency's mission, paid time-off is to be used sparingly and limited to situations where an employee or team performed their assigned duties or a special project "above and beyond" normal expectations, or where they displayed a notable level of courtesy, diligence or effort.
- (2) Managers and supervisors may recommend employees for time-off from work without loss of pay or charge to leave. The maximum amount of time for a Time-Off Award is five (5) consecutive workdays. An approval form (see Appendix F) must be completed by the supervisor and submitted to the appropriate Associate Director for

approval. *A copy of the approved request must be sent to OHR for processing and recordkeeping purposes.*

G. MULTIPLE AWARDS

An employee may receive more than one award in recognition of different accomplishments (e.g., a performance award for overall high level performance, plus a team-based special achievement award for a team's special contribution). An employee may not, however, receive more than one award for the same accomplishment or contribution. With the exception of Employee of the Year and the Unsung Hero awards, no employee may receive more than one performance award in any twelve-month period.

H. NON-MONETARY EMPLOYEE RECOGNITION

- (1) Employees respond positively to non-monetary forms of recognition. Any time an individual employee's performance exceeds a supervisor's expectations, it is appropriate to recognize his/her success. Recognition is similarly important in creating effective work teams.
- (2) Some forms of non-monetary recognition are:
 - (a) Written Commendations – Supervisors and managers may recognize employees or teams for noteworthy contributions through Letters of Commendation/Appreciation. A copy of the letter should be sent to OHR for placement in the Employee Performance Folder (EPF).
 - (b) Length of Service Recognition – OHR will provide service pins and certificates in five-year increments for presentation to employees.
 - (c) Retirement Plaques – CSOSA employees who retire may be presented with an Agency plaque, and where appropriate, an enclosed badge memento acknowledging their service to the Agency. A request for the plaque should be submitted to the Office of Procurement, and the badge memento request should be submitted to the Office of Security, as far in advance of the employee's retirement date as possible, in order to provide sufficient time for preparation of the plaque.
 - (d) Certificates of Honorary Recognition – OHR will stock generic certificates with the Agency seal, which Associate Directors/General Counsel may customize and present to employees when appropriate.
 - (e) Miscellaneous – OHR, through the Office of Procurement will periodically procure items such as coffee mugs, pins, key chains, tee-shirts and similar items displaying the Agency seal for presentation as appropriate. Such items may only be purchased by OHR and must reflect an affiliation with the Agency, be of

reasonably lasting value (e.g., not be consumable), and be of nominal monetary value.

I. AWARD CEREMONIES

- (1) Recipients of monetary awards presented at the end of the annual performance rating period will be honored during an Agency-wide ceremonial event that provides public recognition.
- (2) Supervisors and managers are encouraged to publicize and celebrate noteworthy individual and team achievements/accomplishments through organizational ceremonies, staff meetings and the CSOSA Newsletter.

J. OFFICE-LEVEL AWARDS

Individual offices below the Associate Director or equivalent level are permitted and encouraged to establish their own programs of honorary, non-monetary recognition, using the same or similar items as listed in Section H above. Such programs must be coordinated in advance with OHR and approved by the respective Associate Director/General Counsel or equivalent.

APPENDIX E
CSOSA On-the-Spot Award Program

PART I Employee / Award Data (To be completed by supervisor)

Employee Name: _____ Social Security No: _____

Title, Series & Grade: _____

Organization: _____

Net Amount of Award: _____ (\$50 - \$200; must be in increments of \$50)
(Attach copy of award justification)

PART II Award Recommendation and Approval (Signatures)

Requesting Official: _____ Date: _____

Approving Official: _____ Date: _____

PART III Financial Data and Budget Approval

Accounting Class Code: _____ Document Control Number: _____

Approved for Payment: _____ Date: _____
Associate Director/General Counsel

PART IV Personnel Data - Certification

Date Received in OHR: _____ Effective Date: _____

Human Resources Specialist Certification: _____

(I certify that this award request has been reviewed and approved for payment. I further certify that this action will be keyed within the current pay period.)

APPENDIX F
CSOSA TIME-OFF AWARD APPROVAL FORM

Part I – To be completed by Supervisor.

Employee Name: _____

Social Security Number: _____

Organization: _____

Number of Time-Off Award
Hours to be Granted: _____

Timekeeper Information:

Name: _____

Telephone No. _____

Location: _____

Part II – Justification for Award (Attach continuation sheet if needed).

Approving Official: _____
Associate Director/General Counsel Signature Date

Reviewing Official: _____
Manager/Supervisor Signature Date

APPENDIX G
Incentive Award Declining Balance Report

Office:

Associate Director:

Report Date:

On-the-Spot Award Budget Amount \$500

Name of Spot Award Recipients

Example:

1	Mary Smith	50
2	John Amos	50
3	Bill Scott	100
4	Wilson Gray	50

Amount of Awards Issued to Date \$250

On-the-Spot Award Budget Balance \$250