

FY21 Awards Guidance for Non-SES/SL/ST Employees

IMPORTANT DATES

3/26/21	Deadline to submit CY20 PMAP awards (Performance, QSIs, and Time Off) via SMARTHHR.
3/26/21	Deadline to submit QSI supporting documentation (NIH Form, PMAP coversheet, and Narrative Justification for the Level 5 PMAP rating) for the CY20 award cycle to your servicing HR Specialist in the Client Services Division – ALL QSIs MUST be made effective by 4/25/21.
7/30/21	Deadline to submit all non-performance-based awards (Special Act and Service, Time Off, Group Awards) to your servicing HR Specialist in the Client Services Division

***NOTE:** Prior to processing awards, NIH is legally required to maintain compliance with provisions in collective bargaining agreements that govern awards.*

BACKGROUND

The Office of Personnel Management (OPM) and the Office of Management and Budget (OMB) issued guidance that applies to awards paid during FY20. It incorporates a spending percentage cap for Individual Performance and Individual Special Act or Service awards PMAP covered staff is 2.5% of total aggregate salaries and removes the monetary cap for Group, Referral, Suggestion, Invention, and Quality Step Increase awards. Additionally, the memorandum provides for the 2.5% spending pool to be separated from the spending pool for SES/SL/ST/Senior Title 42 employees' individual performance-based and individual contribution (non-ratings based) awards.

Per the HHS Agency Workforce Fund Plan, NIH must use at least 20% of its total award pool on non-ratings based incentive award programs **including but not limited to:** Individual Special Act or Service, or On-the-Spot awards; group Special Act awards; Federal Technology Transfer Act (FTTA) awards; and other non-ratings based (NRB) awards. As in previous years, group Special Act awards do not count toward the award spending cap (2.5% in FY21), however these awards do contribute to the 20% NRB award requirement. ICs are advised to monitor their award pool expenditures during the year to ensure compliance.

TYPES OF AWARDS

NIH Policy Manual [2300-451-1 - NIH Employee Awards Program](#), describes eligibility for the following awards:

- Individual Performance based and Individual Special Act or Service (SAS) awards for non-SES/SL/ST/Senior Title 42 employees
- Group, Referral, Suggestion, Invention/FTTA awards, and Quality Step Increases (QSIs)
- Time Off Awards (TOAs)

MONETARY AWARDS

- NIH spending for Individual Performance and Individual Special Act or Service awards for non-SES/SL/ST/Senior Title 42 employees will be limited to a spending percentage cap of 2.5% of total aggregate salaries.
- Each ICs spending authority is based on their total aggregate salaries as of 9/30/20.
- Group, Referral, Suggestion, Invention awards, and QSIs do not count towards the 2.5% spending cap; however, ICs must have the funds to cover any award submissions. IC should use these awards **judiciously** and refrain from increasing amounts to compensate for the individual monetary award restrictions. SMARTHR will continue to track the spending for these awards categories separately.

NON-MONETARY AWARDS

- TOAs can be used to recognize PMAP ratings (not to exceed 40 hours or combined with cash), as well as short-term accomplishments not to exceed 80 hours of time off in a single calendar year.
- IC should use TOAs **judiciously** and refrain from increasing time-off to compensate for the individual monetary awards restrictions.

AWARD TYPE	FY20 SPENDING AUTHORITY	FY21 SPENDING AUTHORITY
Individual Performance and Individual Special Act or Service awards for non-SES/SL/ST/Senior Title 42	2.0%*	2.5%*
Other - Group, Referral, Suggestion, Invention awards, and QSIs	FY2010 Limit Removed	FY2010 Limit Removed
Time-off Awards	N/A	N/A
*Incorporates the reduced aggregate spending percentage caps as reduced by the Budget Control Act .		