

DOE 3220.4A
1-7-93

THIS PAGE MUST BE KEPT WITH DOE 3220.4A, CONTRACTOR PERSONNEL AND INDUSTRIAL RELATIONS REPORTS.

DOE 3220.4A, CONTRACTOR PERSONNEL AND INDUSTRIAL RELATIONS REPORTS, HAS REVISED AND CANCELED DOE 3220.4 TO REFLECT ORGANIZATIONAL TITLE, ROUTING SYMBOL, AND OTHER EDITORIAL REVISIONS REQUIRED BY SEN-6. DUE TO THE NUMBER OF PAGES AFFECTED BY THESE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION. THIS PRINTING WILL ALSO CORRECT A PREVIOUS PRINTING ERROR IN PAGINATION.

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

ORDER

DOE 3220.4A

1-7-93

SUBJECT: CONTRACTOR PERSONNEL AND INDUSTRIAL RELATIONS REPORTS

1. PURPOSE. To prescribe policy and procedures and to assign responsibilities and authorities for the preparation and submission of contractor human resource management reports.
2. CANCELLATION. DOE 3220.4, CONTRACTOR PERSONNEL AND INDUSTRIAL RELATIONS REPORTS, of 6-4-85.
3. SCOPE. The provisions of this Order apply to all Departmental Elements that have responsibility for management and operating contractors or other designated contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer.
4. REFERENCES.
 - a. Fair Labor Standards Act (29 Code of Federal Regulations (CFR) 541) of 10-24 38, as amended, which provides for minimum wages, overtime provisions, and other protection covering industries engaged in commerce or in the production of goods for commerce.
 - b. Federal Acquisition Regulations (FAR) 17.601 and Department of Energy Acquisition Regulations (DEAR) 970.000, which define management and operating contracts.
 - c. Paperwork Reduction Act of 1980, Public Law 96-511, which mandates a Governmentwide system for controlling and reducing agency information collections levied on the public.
 - d. Title 5 CFR 1320, Controlling Paperwork Burden on the Public, which implements the Paperwork Reduction Act of 1980.
5. DEFINITIONS.
 - a. Headquarters or Field Element is the program organization having contract authority or the field organization responsible for administering contracts or managing projects at Government-owned or -controlled, contractor-operated facilities.

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- b. Management and Operating Contract is an agreement under which a Federal agency contracts for the operation, maintenance, or support of a Government-owned or -controlled research, development, special production, or testing establishment which is wholly or principally devoted to one or more major programs of the contracting Federal agency.
 - c. Other Designated Contracts include onsite contracts designated by Heads of Departmental Elements such as long-term architect-engineering and construction contracts.
6. POLICY AND OBJECTIVES.
- a. DOE shall assure that contractor personnel practices are consistent with Federal labor standards, and that related costs are reasonable
 - b. It is Departmental policy to be adequately informed concerning contractors' human resource management activities. Objectives are as follows:
 - (1) To hold requirements for submission of periodic and special reports to a minimum.
 - (2) To standardize reporting requirements, including the use definitions, codes, and management information systems terms.
 - (3) To coordinate requirements for contractor human resource management information and to avoid duplication of requests to contractors.
 - (4) To take into account contractor's established reporting procedures, thus minimizing duplication of requirements.
 - (5) To preserve the confidentiality of individual responses obtained from reports submitted in accordance with DOE requirements.
7. RESPONSIBILITIES AND AUTHORITIES.
- a. Director of Procurement, Assistance and Program Management has overall authority for establishing policies regarding compensation and personnel of contractors who operate or support DOE-owned or -controlled facilities.

b. Director of Contractor Human Resource Management.

- (1) Determines and continually appraises, in the light of changing program requirements, DOE management needs for information on contractors' human resource management activities to assure that reporting requirements are minimal but adequately meet such needs.
- (2) Determines the need for, and conducts, special one-time or nonperiodic surveys.
- (3) Reviews and analyzes data submitted pursuant to the requirements of this directive in order to:
 - (a) Maximize its usefulness in the evaluation of contractor human resource management performance.
 - (b) Appraise the adequacy, effectiveness, and implementation of established DOE policies and standards.
- (4) Publishes and disseminates data obtained from reports and analyses thereof to appropriate Departmental Elements, other governmental offices or agencies, and DOE contractors.
- (5) Assures compliance with Title 5 CFR 1320, Controlling Paperwork Burden on the Public.

c. Heads of Departmental Elements Administering Operating and Onsite Service Contracts.

- (1) Identify contractors covered by this directive, including those providing onsite architect-engineering or construction services of a long-term or continuing nature, and advise them of the Departmental policy and reporting requirements of this directive.
- (2) Assure that contractors furnish required information and reports on contractor human resource management matters.
- (3) Provide for the submission of the required periodic reports.
- (4) Submit any special reports required by the Director of Contractor Human Resource Management.
- (5) Establish additional periodic and special reporting requirements, as needed, to meet specific contract needs for effective review and evaluation of contractor human resource management activities.

- (6) Establish procedures for verifying the accuracy of contractor reports.
 - (7) Fully utilize reports data in the review and evaluation of contractor human resource management activities.
 - (8) Refer proposed public surveys, questionnaires, forms, reporting, and recordkeeping requirements to Director of Procurement, Assistance and Program Management when clearance under the Federal Reports Act is required.
8. CLEARANCE UNDER THE PAPERWORK REDUCTION ACT. The information collections contained in this Order have been cleared under the provisions of the Paperwork Reduction Act of 1980, Public Law 96-511, and the procedures of 5 CFR 1320, Controlling Paperwork Burden on the Public. The Office of Management and Budget (OMB) Control No. is 1910-0600.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Administration
and Management

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CHAPTER I

REPORT OF EMPLOYMENT AND LABOR TURNOVER (DOE F 3230.1)

1. GENERAL.

- a. Purpose. This report accounts for the contractor work force both in terms of occupational categories and employee groups. It is used by Departmental Elements to analyze work force composition and fluctuation and provides a tool for evaluating contractors' performance in human resource management. Only permanent employment is reported.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or controlled sites are covered by this report.
- c. Frequency. Reports are semi annual.
- d. Due Dates. Contractors shall submit reports to the appropriate Departmental Element by 4-15 and 10-15 for the 6-month period ending 3-31 and 9-30, respectively. Receiving organizations shall provide the reports to the Director of Contractor Human Resource Management by 5-1 and 11-1, respectively.
- e. Review. Heads of Departmental Elements shall review reports submitted by their contractors for accuracy and significant changes in statistical data. The number of permanent employees on the 9-30 report shall agree with the number reported on DOE F 3230.5, "Annual Report of Contractor Employment by Work Type."

2. INSTRUCTIONS.

- a. Types of Report. Separate reports will be prepared for male and female employees in the work force. An "X" will be entered in the box at the upper left corner of each part of the report identifying the category being reported.
- b. Contractor Information. At the top of the form, enter appropriate information for each contractor site, including:
 - (1) DOE facility code (see page X-1, Figure X-1);
 - (2) Name of contractor;
 - (3) Additional information;
 - (4) City or place;

- (5) State abbreviation; and
 - (6) Symbol of Departmental Element.
- c. Employee Categories. See the descriptions of job categories in Employer Information Report EEO-1 (Standard Form 100, Revised 12-76). Entries are not to be made for a specific occupation within an employee category if the report is negative (i.e., do not enter zeroes).
- d. Beginning Employment. Enter the total number of permanent employees as of the last workday of the previous report; include permanent part-time employees in positions which require work on a prearranged schedule of hours or days less than that prescribed for full-time seasonal employment, the Federal Summer Employment Program for Youth, cooperative programs, or research assignments; consultants; and employees who are employed on an irregular or occasional basis, such as those whose work is not based on a prearranged schedule and who are compensated for the time actually worked or for services actually rendered.
- e. Separations.
- (1) Total (Items 22-26). Enter the sum of quits, layoffs, and all other separations during the entire reporting period (10-1 through 3-31 or 4-1 through 9-30). Exclude terminations of temporary employees and promotions out of a particular job category.
 - (2) Quits (Items 27-30). A quit is a termination of employment initiated by the employee for any reason except to retire, to transfer to another establishment of the same firm, or for service in the Armed Forces. Include a person who fails to report after being hired (if previously counted as an accession).
 - (3) Layoffs (Items 31-34). A layoff is a suspension from pay status initiated by the employer without prejudice to the employee, stemming from such reasons as lack of orders, equipment changeover, inventory taking, shortage of materials, or reduction of operations. Include temporarily furloughed employees and employees placed on unpaid vacations.
 - (4) All Other (Items 39-42) includes terminations of employment because of discharge, permanent disability, death, retirement, or transfer to another establishment of the firm.

- f. Accessions. Enter the total number of permanent employees (both full-time and part-time) added to the employment roll during the entire reporting period (10-1 through 3-31 or 4-1 through 9-30), including employees who are new, rehired, or transferred from another establishment of the firm, and temporary employees reclassified as permanent. Exclude temporary employees and promotions into a particular job category.
 - g. Ending Employment. Total (Items 52-57). Enter the total number of permanent employees, both full-time and part-time, as of the last workday of the reporting period. Exclude temporary employees. (Note: All total lines (100-500 and 900) must balance across. Due to intercategory promotions, reclassification, downgrading, and demotions, subcategory lines (e.g., 102-122) will not necessarily balance across.)
 - h. Number of Promotions. A promotion is a change to or a change in a position which offers more opportunity for further advancement (with or without an increase in compensation) or a movement to a position in which duties and responsibilities are increased. Report promotions in the appropriate job category:
 - (1) Intracategory Promotions (Items 69-71). Enter the total number of employees promoted within a job category (e.g., from clerk to stenographer).
 - (2) Intercategory Promotions (Items 72-74). Enter the total number of employees promoted to a different job category, such as a professional promoted to manager, or a technician promoted to professional.
 - i. Footnotes may be used to indicate changes in job categories such as reclassification or demotion. If there have been a large number of job changes which are not promotions, it is not necessary to identify each change, but note on the report that "x" number of employees were reclassified or demoted. When an employee is reidentified from one ethnic group to another, correct the beginning and ending employment figures for the total line as well as within the job category, and indicate the change in a footnote.
3. NARRATIVE REPORT. Include the following information in a separate attachment to DOE F 3230.1. Internal reports already generated by the contractor are acceptable substitutes if they contain the information requested below:
- a. Analyses of statistical data reported on DOE F 3230.1 as related to goals and timetables reported in contractors' Affirmative Action Plans (AAP's), to include the following:

- (1) Status of Affirmative Action Plan goals for permanent employees, both minorities and women, denoting goals, opportunities, and accomplishments, and the percentage of goals accomplished.
 - (2) Status of Affirmative Action Plan summer and/or temporary employment programs and career development and training programs as listed in the contractors' Affirmative Action Plans, denoting separately total participation and the participation of minorities and women.
 - (3) Statement of significant problems which are hindering goal accomplishment(s) and the planned course(s) of action to alleviate the problem.
- b. Clear and concise statements of significant developments in the contractors' equal opportunity program, such as:
- (1) Initiation of training or other programs designed to achieve equal opportunity objectives, indicating the participation of minorities and women.
 - (2) Entry of minorities or women in job classifications in which they have had little or no representation.
 - (3) Entry of minorities or women into organizational units in which they have had little or no representation.
 - (4) Hiring or promotions of minorities and women to professional and/or management positions.
 - (5) Personnel policy changes which affect the status of minorities and/or women.
 - (6) Breakthroughs in collective bargaining agreements, such as seniority provisions which affect minorities and/or women.
 - (7) Revisions to insurance, retirement, nonoccupational health benefits programs, and maternity leave policies to assure nondiscrimination,

U.S. DEPARTMENT OF ENERGY
REPORT OF EMPLOYMENT AND LABOR TURNOVER Part 1

All data on this page is for:

MALE
 FEMALE (Punch 11 zone
over Col 3)

Mark only one block above

CATEGORY CODE: **001** DOE FACILITY NUMBER: **BCA 1101** NAME OF CONTRACTOR: **HRD Company** ADDITIONAL INFORMATION: **Systems Division**
1-3 4-10 11-29 30-51

EMPLOYMENT DATA (Right-justify; numeric characters only) LOCATION: **Germantown** CITY OR PLACE: **Germantown** STATE: **MD** DOE FIELD ORGANIZATION: **HQ** YR MO DAY: **81 03 31**
52-70 71-72 73-74 75-80

CATEGORY CODE	EMPLOYEE CATEGORY	REGULAR EMPLOYMENT	
		TOTAL	
1-3		11-16	
100	BLACK-TOTAL	792	
102	Officials and Managers	41	
104	Professionals	26	
106	Technicians	49	
108	Office and Clerical	4	
110	Craftsmen (Skilled)	356	
112	Operatives (Semi-skilled)	167	
114	Laborers (Unskilled)	21	
116	Service Workers	98	
118	OJT White Collar	5	
120	OJT Blue Collar	10	
122	Apprentices	15	
200	HISPANIC-TOTAL	528	
202	Officials and Managers	33	
204	Professionals	25	
206	Technicians	25	
208	Office and Clerical	17	
210	Craftsmen (Skilled)	132	
212	Operatives (Semi-skilled)	171	
214	Laborers (Unskilled)	9	
216	Service Workers	58	
218	OJT White Collar	17	
220	OJT Blue Collar	2	
222	Apprentices	39	

SEPARATIONS DURING PERIOD				
TOTAL	QUNTS	LAY-OFFS	ALL OTHER	
22-26	27-30	31-34	39-42	
11	3		8	
5	2		3	
2			2	
4	1		3	
15	4	1	10	
2	2			
2		1	1	
2	1		1	
8	1		7	
1			1	

ACCIDENTS DURING PERIOD
TOTAL
43-47
37
2
2
17
16
22
2
5
3
12

ENDING EMPLOYMENT
TOTAL
52-57
818
46
25
49
5
404
149
16
94
5
10
15
535
35
26
28
18
128
168
10
63
18
2
39

NUMBER OF PROGRAMS	
BYNA CATE. CODE	FINA CATE. CODE
69-71	72-74
36	102
3	5
1	
5	2
1	
15	59
4	36
7	
20	17
	2
1	
4	1
	1
14	9
	3
1	1

FOOTNOTES:

REPORT OF EMPLOYMENT AND LABOR TURNOVER

EXAMPLES

DOE 3220.4A
1-7-93

Attachment I-1
Page I-5

U.S. DEPARTMENT OF ENERGY
REPORT OF EMPLOYMENT AND LABOR TURNOVER

Part 3

All data on this page is for:

 MALE
 FEMALE (Punch 11 zone
over Col 3)

Mark only one block above

DOE FACILITY NUMBER

BCA 1101

4-10

YR MO DAY

81 03 31

75-80

EMPLOYMENT DATA

CATEGORY CODE	EMPLOYEE CATEGORY	REGULAR EMPLOYMENT	SEPARATIONS DURING PERIOD				ACCESSIONS DURING PD.	HIRING EMPLOYMENT	NUMBER OF PROMOTIONS	
			TOTAL	QUITS	LAY-OFFS	ALL OTHER			INTRACATE GORY	INTERCATE GORY
1-3		TOTAL	22-26	27-30	31-34	35-42	43-47	52-57	68-74	75-79
		11-16								
500	ALL OTHER EMPLOYEES—TOTAL	1586	61	31		30	163	1688	161	42
502	Officials and Managers	54	1			1	1	52	5	1
504	Professionals	269	6	3		3	23	296	7	11
506	Technicians	393	11	5		6	38	420	63	17
508	Office and Clerical	783	36	17		19	59	817	79	13
510	Craftsmen (Skilled)	8						8	1	
512	Operatives (Semi-skilled)	14	1	1				12		
514	Laborers (Unskilled)									
516	Service Workers	18	2	2			4	17		
518	OJT White Collar	37	2	2			33	55	6	
520	OJT Blue Collar	3	1			1	5	5		
522	Apprentices	7	1	1				6		
TOTAL DATA			5	5			60	102	11	2
600	OJT WHITE COLLAR	77	1			1	5	5		
700	OJT BLUE COLLAR	3	2	1		1		13		
800	APPRENTICES	15	89	50		39	262	2471	221	105
900	EMPLOYMENT	2298								

FOOTNOTES:

Reported By: _____

John Doe
(Signature)

OIR Editor: _____

(Signature)

REPORT OF EMPLOYMENT AND LABOR TURNOVER
EXAMPLES

CHAPTER 11

REPORT OF CONTRACTOR HOURS AND EARNINGS (DOE F 3230.3)

1. GENERAL.

- a. Purpose. This report provides information necessary for analyzing overall DOE wage and salary trends, for making salary comparisons with industries, and for determining the reasonableness of contractor salary increase funds. The data collected and the methods of computation followed are similar to those used by the Bureau of Labor Statistic (BLS) in preparing its monthly "Employment and Earnings" report, which reflects average hours, earnings, and turnover of "Production and Related Workers" in a number of industrial categories. However, the DOE report extends beyond the BLS coverage to include similar data for "Nonexempt Office, Clerical, and Related employees," "Technicians," and "Exempt Employees," and further breaks down exempt employees into (1) scientists and engineers, (2) scientists and engineers who are supervisors, and (3) all other professional employees. Hours and earnings for temporary employees are excluded.
- b. Coverage. Management and operating contractors, and other designated contractors performing long-term contracts at Department-owned or -controlled sites, are covered by this report.
- c. Frequency. Reports are semiannual.
- d. Due Date. Contractors shall submit reports to appropriate Departmental Elements by 4-10 and 10-10 for the full 6-month periods ending 3-31 and 9-30, respectively. Receiving organization shall provide the reports to the Director of Contractor Human Resource Management by 4-20 and 10-20, respectively.
- e. Definitions.
 - (1) Nonexempt employees (covered by the overtime provisions of the Fair Labor Standards Act (29 CFR 541)) include:
 - (a) Production and Related Workers. which comprise all employees whether wage or salaried, full- or part-time, performing duties associated with operating activities which are manual in character. This group contains working foremen and all nonsupervisory workers (including lead persons and trainees as well as skilled tradespeople) engaged in fabricating, processing, assembling, inspecting, receiving, storage, handling, packing, warehousing, hauling, maintenance, repair, janitorial, or guard services, and persons involved in auxiliary production for a

plant's own use (e.g., laborers). Excluded are construction employees on the payroll engaged in construction of major additions or alterations to the plant who are utilized as a separate work force.

- (b) Office, Clerical, and Related Employees, which include all employees performing work, regardless of level of difficulty, where the activities are predominantly nonmanual but may require some manual work not directly involved with altering or transporting the product. The following are typical positions in this category: clerk, stenographer, typist, secretary, bookkeeper, cashier, messenger, licensed practical or vocational nurse, photographer, shipping or receiving clerk, telegraph or telephone operator, and computer operator.
 - (c) Technicians, which includes all nonexempt employees, manual or nonmanual (salaried or hourly), engaged in work of a technical nature requiring a basic scientific knowledge and manual skill which can be obtained through 2 years of post-high-school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Typical jobs include: draftsman, engineering aide, mathematical aide, radio operator, scientific assistant, technical illustrator, and other technicians (medical, dental, electronic, physical sciences).
- (2) Exempt Employees are workers not covered by the overtime provisions of the Fair Labor Standards Act as they are "employed in a bona fide executive, administrative, or professional capacity" and are divided into three categories:
- (a) Scientists and Engineers (excluding scientists and engineers who are supervisors).
 - 1 Scientist designates an employee actually engaged in scientific work at a level which requires knowledge of mathematical, physical, or life sciences equivalent, at a minimum, to that acquired through completion of a 4-year college course with a major in one of these fields, regardless of whether he or she holds a college degree in the field. Include in this category employees who are involved in research and development production, technical service, technical writing, and other positions which require them to use the indicated level of knowledge in their work. Do not include

employees trained in science but currently employed in positions not requiring the use of such training. Exclude psychologists and social scientists

2 Engineer designates an employee actually engaged in chemical, civil, electrical, mechanical, metallurgical, or any other type of engineering requiring a level of knowledge equivalent at least to that acquired through completion of a 4-year college course with a major in one of these fields, regardless of whether he or she holds a college degree. Include those employees in research and development, production, technical service, technical writing, and other positions which require them to use the indicated level of knowledge in their work. Do not include employees trained in engineering, but currently employed in positions not requiring the use of such training. Include architectural engineers; exclude architects.

(b) Scientists and Engineers Who Are Supervisors are defined as employees who spend the majority of their time in employee supervision and for whom a scientific or engineering background, consistent with the definitions of scientists or engineers, is normally required.

(c) All Other Executive, Administrative, and Professional Employees (excluding scientists and engineers who are supervisors) include all employees of the exempt work force segment whose work is characterized by administrative, managerial (nonscientific), and nonscientific professional skills.

2. INSTRUCTIONS.

- a. Contractor Facility Code. Enter the code from Table 5501 (Figure X-1, page X-1) that identifies the facility and contractor.
- b. Report Period. Enter the ending date (YYMM) of the 6-month reporting period, either YY03 or YY09.
- c. Employee Class Code. Enter a code from Table 5506 (Figure X-3, page X-5) that indicates the employee class for each line of data entered on the form.

- d. Number of Employees. Enter the total number of employees on the payroll who received pay for any part of the reporting period. Exclude temporary employees.
- e. Total Hours. Enter the total hours worked (in whole hours and including overtime hours) during the reporting period, including hours paid for standby or reporting time, and the equivalent hours for which employees received pay for sick leave, holiday, and vacation taken (including hours for pay in lieu of vacation taken). Do not convert overtime or other premium-paid hours to straight-time equivalent hours. Exclude temporary employee hours.
- f. Total Overtime Hours. Enter the total number of whole hours for which overtime rates were paid because the hours were in excess of the straight time workday or workweek. Include Saturday and Sunday hours (or 6th- and 7th-day hours) only if overtime rates were paid. Include holiday hours actually worked and paid at an overtime rate. Exclude hours for which only shift differential or similar types of premiums were paid. Exclude temporary employee hours.
- g. Straight-Time Pay. The whole-dollar amount should represent the hours entered in the Total Hours field. Exclude temporary employee pay.
- h. Premium Pay. Enter the total whole dollar amount of premium pay reimbursed during the reporting period for both exempt and nonexempt employees. Premium pay includes the premium portion of overtime pay, shift differential, remote location pay/travel pay, or any other special bonuses or allowances.

CHAPTER III

REPORT OF CONTRACTOR EXPENDITURES FOR EMPLOYEE SUPPLEMENTARY
COMPENSATION (DOE F 3230.4a AND DOE F 3230.4b)

1. GENERAL.

- a. Purpose. This report is used to assist Program Secretarial Officers and Managers of DOE Field Offices in reviewing the reasonableness of employee compensation for wages and salaries and for legally required and private programs which provide for employees' health and welfare. The report is in two parts: Part I is entirely a numerical report; Part II is a questionnaire on supplementary benefits.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or -controlled sites are covered by this report.
- c. Frequency. Annual.
- d. Due Date. Contractors shall submit the report to appropriate Departmental Elements by 3-1 covering expenditures for the previous calendar year. Receiving organizations shall provide the report to the Director of Contractor Human Resource Management by 3-15.
- e. Sensitivity of Information. The sensitive nature of the data requested is recognized by DOE and will be treated as proprietary information.

2. INSTRUCTIONS.

- a. Contractor Entries - Part I.
 - (1) Contractor Facility Code. Enter the code from Table 5501 (Figure X-1, page X-1) that identifies the facility and contractor.
 - (2) Report Period. Enter ending calendar date (YYMM) of the 12-month reporting period (e.g., YY12).
 - (3) Employee Category Code. Enter one of the codes from Table 5509 (Figure X-4, page X-5). A separate form is used for each category.
 - (4) Number of Employees. Enter the total number of employees on the payroll during the calendar year. These include full- and part-time permanent, and full- and part-time temporary employees whose pay and benefits are included in the report.

- (5) Gross Pay. Enter the total wages, salaries, and other payments made during the reporting period, before any deductions. The amount will include total base pay, overtime pay, shift differential, severance pay, nonproduction bonuses, and any other miscellaneous payment to employees. If gross pay exceeds the sum of these line items, an explanation should be provided in the last block of Part II (Attachment III-2 page III-7).
- (6) Special Deferred Compensation. Enter total employer contribution to nonqualified, deferred compensation arrangements, such as deferred annuities or deferred lump sum payments, and so forth, given to certain employees. Do not include any portion of an employee's base pay which he or she designates for tax sheltering.
- (7) Total Base Payroll. Enter the whole-dollar total amount of straight-time pay (excluding all overtime pay) expended during the reporting period. This sum is derived from the base pay amount, be it hourly, monthly, yearly, or otherwise. Total Base Payroll should include all paid leave at straight-time rates, and any amounts designated by employees for tax shelters, such as 401(k) or voluntary State tax shelter programs.
- (8) Overtime Pay - Straight-Time Portion. Enter straight-time portion of the overtime amount (total payment minus premium pay).
- (9) Overtime Pay - Premium Portion. Enter the total premium portion of overtime amount.
- (10) Shift Differential. Enter the total payments above the regular day shift rates. If 8 hours' pay is given for 7 1/2 hours of work, report the total of the half-hour payments.
- (11) Vacation pay. Enter the total of vacation payments for vacation time actually taken, not worked.
- (12) Holiday Pay. Enter the total of holiday payments for holiday time actually taken, not worked.
- (13) Sick Leave Pay. Enter the total of sick leave payments.
- (14) Other Paid-Leave Pay. Enter the total amount of payment for civic (military, jury, witness, voting), compensatory, and personal leave.
- (15) Nonproduction Bonuses. Enter the total amount paid for nonproduction bonuses, including lump sum payments under profit-sharing plans, and other irregular or seasonal

bonuses (such as attendance, Christmas, or year end bonuses). Proceeds of profit-sharing plans that are paid into retirement plans should be reported in the Retirement field; those paid into savings and thrift plans should be reported in the Savings Plan field.

- (16) Severance Pay. Enter the total of all payments made by the establishment to employees because of temporary or permanent severance of employment. Exclude payments to funds and payments to pensioners made under the provisions of pay-as-you-go pension plans.
- (17) Social Security - Amount. Enter the total amount paid to Social Security and similar legally required retirement income and protection programs.
- (18) Unemployment - Federal. Enter the total amount paid to Federal unemployment compensation funds.
- (19) Unemployment - State. Enter the total amount paid to State unemployment compensation funds.
- (20) Occupational Injury and Illness. Enter the total payments made under the provisions of Workers' Compensation and related State and Federal laws.
- (21) Other Legally Required Insurance Programs. Enter the total amount paid to other legally required insurance programs, including State temporary disability insurance programs.
- (22) Group Insurance. Enter the total net amount paid ("net amount paid" means payments after deduction of refunds, rebates, and dividends or any other credits) to private welfare plans or funds that cover life, accidental death and dismemberment, sickness and accident, or wage and salary continuance insurance; death benefits; and hospitalization, surgical, medical, dental, optical, and drug plans.
- (23) Retirement. Enter the total employer contribution to defined-benefit plans and defined-contribution plans.
- (24) Vacation/Holiday Funds. Enter the total net amount paid to private welfare vacation and holiday funds.
- (25) Severance Pay Plan. Enter the total net amount paid to private welfare severance or dismissal pay and/or supplemental unemployment benefit funds.
- (26) Savings Plan. Enter the total net amount paid to other private savings and thrift plans.

- (27) Other Welfare Plans. Enter the total net amount paid to other private welfare plans.
 - (28) Total Straight Hours. Enter the total number of hours worked as part of the normal workday that were paid at a straight-time or basic rate of pay. Exclude overtime hours and hours paid for but not worked.
 - (29) Total Premium Hours. Enter the total number of hours for work beyond the normal workday or workweek for which straight time or premium payments were made.
 - (30) Vacation Hours. Enter the total number of hours of paid vacation. Include hours for which payment was made instead of vacation time taken.
 - (31) Holiday Hours. Enter the total number of hours of paid holidays. Include hours for which payment was made instead of leave time taken.
 - (32) Sick Leave Hours. Enter the total number of equivalent hours of paid sick leave. Use the number of hours that represents the amount paid divided by the straight-time rate.
 - (33) Other Paid Leave Hours. Enter the total number of hours paid leave for civic (military, jury, witness, voting) and personal leave.
- b. Contractor Entries - Part II. The information on this form concerns establishment practices and policies and covers the same number of employees and time frame as Part I. The form is self-explanatory.

SUPPLEMENTARY COMPENSATION REPORT (PART II)

DOE-F-3230.40
(12-83)

U.S. DEPARTMENT OF ENERGY
REPORT OF CONTRACTOR EXPENDITURES FOR
EMPLOYEE SUPPLEMENTARY COMPENSATION
PART II

FIELD OFFICE Headquarters	REPORT PERIOD (MONTH YEAR) 1978
CONTRACTOR HRG Company	LOCATION Germantown, MD
SIGNATURE OF PERSON MAKING REPORT <i>John Doe</i>	INPUT ID 553

PAID VACATIONS — Report the number of employees in this category who received vacation pay during the reporting period, directly from the establishment according to the amount of pay received and not the time taken. If vacation pay was not a direct multiple of weekly or hourly rates, report the number of weeks equivalent to the payment. For example, if the amount was computed as a percentage of annual earnings, report payments of about 2 percent as 1 weeks' vacation pay, about 4 percent as 2 weeks' vacation pay, etc.

	NUMBER OF EMPLOYEES	
1 NO VACATION PAY	52	EMPLOYEE CATEGORY 1 <input checked="" type="checkbox"/> EXEMPT 2 <input type="checkbox"/> NON-EXEMPT BARGAINING UNIT 3 <input type="checkbox"/> NON-EXEMPT NON-BARGAINING UNIT
2 UNDER 1 WEEK PAY	57	
3 1 AND UNDER 2 WEEKS PAY	24	
4 2 AND UNDER 3 WEEKS PAY	650	
5 3 AND UNDER 4 WEEKS PAY	172	
6 4 AND UNDER 5 WEEKS PAY	73	
7 5 WEEKS PAY OR MORE	442	

PAID HOLIDAYS — During reporting period, enter number of days per employee. If more than one practice existed for an employee group report that which applied to the greatest number in the group.

NUMBER OF HOLIDAYS PER EMPLOYEE FULL DAYS HALF DAYS

SICK LEAVE — Did the establishment pay sick leave for any employees in this category?
 YES NO

CIVIC AND PERSONAL LEAVE — Did the establishment pay civic leave (military jury, witness voting, etc.) or personal leave (such as for death in the family) for any employees in this category?
 YES NO

INSURANCE — Life, Accident, and Health Plans, and Union Administered Health Funds

1 Did the establishment finance any of the following insurance plans or funds:

LIFE INSURANCE	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
SICKNESS AND ACCIDENT	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
HOSPITALIZATION OR MEDICAL	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO

2 Did employees pay for any part of these insurance plans or funds (answer NO if payment was only for additional benefits):

LIFE INSURANCE	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
HOSPITALIZATION OR MEDICAL	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
SICKNESS AND ACCIDENT	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> NO

RETIREMENT — Pension and retirement plans of Union Management Administered Pension Funds

1 Did the establishment finance such a plan or fund?
 YES NO

2 Did employees pay for part of any of these funds (answer NO if payment was only for additional benefits).
 YES NO

REGULAR WORKWEEK — How many hours (e.g. 44, 40, 37.5, etc.) and days (e.g. 4.5, 5.0, 5.5) were normally worked each week by the majority of this employee category?
 HOURS PER WEEK DAYS PER WEEK

List the items for which data were approximated and indicate the methods used in approximating. Please include any other pertinent explanation of the data you have reported.

Per paragraph 2a(5) Gross Pay also includes moving expense and remote location pay.

CHAPTER IV

REPORT OF CONTRACTOR EXPENDITURES FOR GROUP INSURANCE
AND OTHER HEALTH BENEFITS PROGRAMS

1. GENERAL.

- a. Purpose. This report accounts for expenditures for contractor group insurance and other health benefits programs. It is used by Departmental Elements to assess the magnitude and reasonableness of such expenditures and provides for close scrutiny of costs. These costs will be documented for both active and inactive members of the contractor's work force.
- b. Frequency. Annual (CY).
- c. Due Date. Contractors shall submit the report to appropriate Departmental Elements by 3-1 covering expenditures for the previous calendar year. Receiving organization shall provide the report to the Director of Contractor Human Resource Management by 3-15.

2. DEFINITIONS.

- a. Current Employees. Contractor employees who are currently categorized as exempt, nonexempt bargaining unit or nonexempt nonbargaining unit members of the work force, and are covered by the employer's benefit plans. Report employees who were actually covered during the report period and not just eligible.
- b. Retiree. Former contractor employees who are eligible to receive benefits from the employer's post-employment medical and death benefit plans.
- c. Death Benefits I. Plan of benefits for current employees allowing a payment to a beneficiary on the death of the employee or other insured person.
- d. Death Benefits II. Plan of benefits for retirees allowing a payment to a beneficiary on the death of the retiree or other insured person.
- e. Medical Benefits. Applies to medical plans for retirees and dependents which reimburses medical costs up to stipulated limits and generally other than those costs approved for Medicare payment.
- f. Basic Medical Benefits. Applies to medical benefits for current employees and their dependents which reimburses hospital and doctor charges up to stipulated limits. Additional coverage can be provided by major medical insurance.

- g. Major Medical Benefits. Protects against catastrophic or large surgical, hospital, or other medical expenses and services. Benefits are paid once a specified deduction is met and are then usually subject to co-insurance. Generally written in conjunction with a basic medical plan.
- h. Comprehensive Medical Benefits. Similar to a major medical benefit but not offered in conjunction with a basic medical plan.
- i. Health Maintenance Organization (HMO). An organized system for the delivery of comprehensive health maintenance and treatment service to voluntarily enrolled members for a prenegotiated fixed period payment.
- j. Preferred Provider Organization (PPO). Preferred Provider Organization is an arrangement whereby a third party payor contracts with a group of medical care providers who furnish services at lower than usual fees in return for prompt payment and a certain volume of patients.
- k. Flexible Benefits Programs. Generally provides employees with core benefits and some choice of types and amount of optional benefits, applying a prespecified amount of employer contribution toward their total cost. Internal Revenue Code 125 plans, in which employees may choose among two or more benefits consisting of cash and qualified benefits, are included.
- l. Long Term Disability Plan. A plan providing benefits, possibly throughout an employee's lifetime, generally defining a monthly benefit as a percent of past earnings and minus other employer paid benefits such as worker's compensation benefits. Definition of disability varies among plans and usually the disability benefit would cease subsequent to the employee becoming eligible for a pension benefit.
- m. Short Term Disability Plan. A plan providing income replacement benefits for employees who are unable to perform the duties of their current position because of illness or a disabling condition. Generally, benefits are paid for less than one year (e.g., 1-26 weeks); are a percentage of salary (e.g., 50-66.6% of gross salary); are payable after a minimum waiting period of five (5) working days for illness or one day for an accident; and coordinate with sick leave benefits.
- n. Dental Benefits. Generally a plan providing scheduled allowances for various dental treatments and procedures.
- o. Other. Other possible group funded programs.

- p. Financial Arrangement. Broadly describes the manner in which assets are accumulated to pay the claims and retention charges incurred through the policies. (Note: Retrospective Plan A collects for plan experience at the end of the year and Retrospective Plan B collects for plan experience through renewal of the plan.)
- q. Stop Loss Provision. A provision designed to limit aggregate or individual losses in plans to a specific amount. If total claims or an individual claim exceed an agreed upon level (amount) for the year, the carrier will pay the policyholder (employer or administrator) for claim(s) in excess of this amount.
- r. Benefit Charges. Charges under an experience-rated plan that include paid claims, any change in the required claim reserves, pooling charges, and conversion charges.
- s. Retention Charges. Charges made by the insurance company or other health care provider primarily for underwriting and administering the employer's group program; these charges include the costs of maintaining records, printing and issuing documents, processing and paying claims, and paying state premium taxes.
- t. Billing Premiums. Charges actually billed and paid to the insurance company or other health care provider in an amount estimated to be sufficient to cover all benefit liabilities and associated expenses incurred during the period covered by the premium.
- u. Interest Credit. Amounts credited to the employer's account due to earnings on funds held by the insurance company or other health care provider prior to the funds being used for paying claims.

3. INSTRUCTIONS.

- a. Contractor Entries.
 - (1) Facility Code. Enter the 7 digit alphanumeric code assigned by the Director of Contractor Human Resource Management identifying the facility and contractor for which data is being reported.
 - (2) Report Period. Enter ending calendar date (YYMM) of the 12-month reporting period (e.g., YY12).
 - (3) Employee Category Code. Enter one of the codes from INS-5511 (Section 3.b.). A separate line entry is used for each category-classification pair.
 - (4) Classification Code. Enter the appropriate benefits/plan code(s) from INS-5512 (Section 3.b.).

- (5) Financial Arrangement Code. Enter the appropriate financial arrangement code from INS-5513 (Section 3. b.).
- (6) Stop Loss Code. Enter the appropriate provision code from INS-5514 (Section 3. b.) This code should correspond with the Financial Arrangement code.
- (7) Number of Employees. Enter the total number of employees for which the subsequent dollar amount entries are applicable. Active employees should be based on total number of straight-time hours worked for covered employees divided by 2080. Inactive employees and retirees should be reported as actual number of persons.

NOTE: The following values should be reported as a total of employer and employee contributions:

- (8) Billed Premium. Enter the total charges billed and paid for the designated number of employees.
- (9) Benefit Charge. Enter the total charges for the designated number of employees.
- (10) Retention Charge. Enter the total charges for the designated number of employees.
- (11) Interest Credit. Enter the total amount credited for the designated number of employees.
- b. Insurance (INS) Codes. The following INS codes should be used as appropriate in conjunction with the above contractor entries:

(1) INS-5511 - Employee Category Code.

11	CURRENT EMPLOYEE -	EXEMPT
12	CURRENT EMPLOYEE -	NONEXEMPT BARGAINING UNIT
13	CURRENT EMPLOYEE -	NONEXEMPT NONBARGAINING UNIT
30	RETIREE	

(2) INS-5512 - Classification Code.

11	DEATH BENEFIT I
12	DEATH BENEFIT II
21	MEDICAL BENEFITS
22	BASIC MEDICAL BENEFITS
23	MAJOR MEDICAL BENEFITS
24	COMPREHENSIVE MEDICAL BENEFITS

- 31 DENTAL BENEFITS
 - 41 FLEXIBLE BENEFIT PLAN
 - 51 LONG TERM DISABILITY PLAN
 - 52 SHORT TERM DISABILITY PLAN
 - 61 HMO
 - 62 PPO
 - 99 OTHER
- (3) INS - 5513 - Financial Arrangement Code.
- 11 INSURED - MINIMUM PREMIUM PLAN
 - 12 INSURED - RETROSPECTIVE PLAN A
 - 13 INSURED - RETROSPECTIVE PLAN B
 - 21 SELF INSURED - CORPORATE ADMINISTERED STAFF
 - 22 SELF INSURED - ADMINISTRATIVE SERVICE ONLY (ASO)
CONTRACT
 - 23 SELF INSURED - THIRD PARTY ADMINISTERED PLAN
- (4) INS-5514 - Stop Loss Code.
- 1 INDIVIDUAL
 - 2 AGGREGATE

CHAPTER V

REPORT OF COMPENSATION (DOE F 3230.6a)

1. GENERAL.

- a. Purpose. The information collected in this report aids Program Secretarial Officers and Managers of DOE Field Offices in determining reasonableness of compensation paid to top-level contractor employees and in monitoring growth of contractor compensation at all levels. The report is in two parts. Part I, "Individual Compensation," lists employees earning \$60,000 a year and more; Part II, "Frequency Distribution of Compensation," reports the occurrences of compensation of all employees in \$5,000 increments. Data are required on all permanent employees who devote at least 50 percent of their time to DOE contract work, whether they are reimbursed directly or indirectly.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or -controlled sites are covered by this report.
- c. Frequency. Semiannual data as of 3-31 and 9-30.
- d. Due Dates. Contractors will submit reports to appropriate Departmental Elements by 4-15 and 10-15. Receiving organizations shall provide those reports to the Director of Contractor Human Resource Management
- e. Sensitivity of Information. The sensitive nature of individual compensation information is recognized by DOE. The amount of compensation paid an individual contractor employee will be treated as proprietary information.
- f. Privacy Act Applicability. In the possession of DOE, the information reported on Part I of DOE F 3230.6a is subject to the provisions of the Privacy Act of 1974 (Public Law 93-579, 5 U.S.C., 552a) under one or more DOE Privacy Act Systems of Records. (See DOE F 1800.1, "Privacy Act Information Request.") Therefore, its maintenance, use, and disclosure should be treated as subject to the provisions of that Act, except as otherwise expressly determined.

2. INSTRUCTIONS.

- a. Contractor Entries: Part I - Individual Compensation. (Note: Contractors which find it more economical or feasible to submit automatic data processing machine listings showing the information required on DOE F 3230.6a (Attachment V-1) may do so.)

- (1) Limit reporting to employees earning \$60,000 or more.
 - (2) Column 1 - Names. Enter the employee's last name, followed by his or her first name and middle initial.
 - (3) Column 2 - Position Title and Organization Unit. Enter the employee's position title and organization unit.
 - (4) Column 3 - Actual Base Salary. Enter the annual rate of the employee's base salary as of 4-1 or 10-1, including increases effective on those dates. Show the actual rate of base salary whether or not it is fully reimbursed under the contract.
 - (5) Column 4 - Amount Reimbursed. If the employee's salary is not fully reimbursed, show the annual amount of base salary that is reimbursed.
 - (6) Column 5 - Actual Payment (Other Compensation). Enter the full amount of bonus or incentive compensation received by the employee whether or not it was reimbursed under the contract. Show the amount received during the 6-month period prior to 4-1 or 10-1.
 - (7) Column 6 - Amount Reimbursed (Other Compensation). Enter the amount of bonus or incentive compensation reimbursed under the contract during the respective 6-month periods cited above.
- b. Contractor Entries: Part II Frequency Distribution of Compensation. (NOTE: Machine listings may be submitted for DOE F 3230.6b (Attachment V-2) but must show field identifiers to permit keypunching.)
- (1) Contractor/Facility Code. Enter the code from Table 5501 (Figure X-1, page X-1) that identifies the facility and contractor.
 - (2) Report Period. Enter the ending date (YYMM) of the fiscal 6-month reporting period.
 - (3) Employee Category Code. Enter the code from Table 5509 (Figure X-4, page X-5) that indicates the employee category for each line of data entered on the form.
 - (4) Range. Enter the 3-position number that represents the annual salary range, in five thousand dollar increments, for the number of employees reported. For example, 005 = \$5,000 to \$9,999; 010 = \$10,000 to \$14,999; 065 = \$65,000 to \$69,999.

- (5) Number of Employees. Enter the total number of employees in this employee category and salary range.
- (6) Annual Base Pay. Enter the total of annual base salaries for the employees counted. This is to be an aggregate amount.
- (7) Annual Pay DOE Reimbursable. Enter the total of annual base salaries for the employees counted that is DOE-reimbursable. If an employee's salary is not fully reimbursable, include only the portion that is reimbursable. This is to be an aggregate amount.
- (8) Other Compensation. Enter the total of the full amount of bonus or incentive compensation received by the employees counted, whether or not it is reimbursable under the contract. Show the amount received during the 6-month period prior to either 4-1 or 10-1.
- (9) Other Compensation Reimbursable. Enter the total amount that is reimbursable under the contract. This is to be an aggregate amount.

**U.S. DEPARTMENT OF ENERGY
 REPORT OF COMPENSATION
 PART I—INDIVIDUAL COMPENSATION**

DOE 3220.4A
 1-7-93

FIELD OFFICE Headquarters		REPORTING PERIOD (MONTH, YEAR) August 1981
CONTRACTOR HRD Company	LOCATION Germantown, MD.	SIGNATURE OF PERSON MAKING REPORT <i>John Doe</i>

INPUT ID	5	5	5
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NAME	POSITION TITLE AND ORGANIZATION UNIT	SALARY		OTHER COMPENSATION	
		BASE SALARY	AMOUNT REIMBURSED	PAYMENT	AMOUNT REIMBURSED
1	2	3	4	5	6
SMITH, JOHN	Supervisory Engineer	\$57,000	\$57,000	\$1,000	0

INDIVIDUAL COMPENSATION REPORT

Attachment V-1
 Page V-5 (and V-6)

CHAPTER VI

LABOR RELATIONS REPORTS

1. GENERAL.

- a. Purpose. Departmental policy as set forth in DEAR 970.22 provides for contractors and their employees to bargain collectively under the same arrangements normally found in industry with maximum possible freedom from Government interference. However, the impact of energy programs on national defense and security imposes upon DOE an obligation to assure continuity of certain vital operations. In addition, DOE's responsibility for the judicious expenditure of public funds, including compensation and employee benefits, makes it necessary to adopt procedures for keeping Headquarters informed of significant labor-management developments at DOE installations.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or -controlled sites are covered by these reports.
- c. Frequency and Due Dates. Reports and information are to be furnished as indicated in paragraph 2, below.

2. INSTRUCTIONS.

- a. Contractor-Union Negotiations.
 - (1) Reports Prior to Negotiations. At least 30 days in advance of each significant contractor-labor negotiation, Departmental Elements shall provide the Director of Contractor Human Resource Management a written report containing the information below. A "significant contractor-labor negotiation" is one so designated by the Director of Contractor Human Resource Management, or a situation in which a strike or a threat of a strike would cause concern from the viewpoint of programmatic impact, health and safety, and political or public interests.
 - (a) Identification and location of parties.
 - (b) Number of employees involved directly and indirectly.
 - (c) Nature of negotiation (i.e., initial agreement, wage reopener, contract renewal) and deadline date.
 - (2) Reports During Negotiations. Status reports of significant developments should be given to the Director of Contractor Human Resource Management by telephone, teletype, or

REPORT ON SETTLEMENT

CONTRACTOR <u>XYZ Company</u>	DATE OF THIS REPORT <u>6-1-73</u>		
UNION <u>IBEW #26</u>	EFFECTIVE DATE OF CHANGES		
NO. OF EMPLOYEES IN UNIT <u>87</u>	<u>5-7-73</u>	<u>5-7-74</u>	<u>5-7-75</u>
PERIOD OF AGREEMENT: FROM <u>5-7-73</u>			
THROUGH <u>5-6-76</u>			
1. <u>Base</u>	\$4.000	\$4.215	\$4.452
a. Average straight-time hourly earnings per plant hour	3.000	3.150	3.276
b. Average hourly cost of benefits per plant hour	1.000	1.065	1.176
2. <u>Total Settlement Cost</u> ^{1/}	<u>.215</u>	<u>.237</u>	<u>.154</u>
a. <u>Cost of Wage Rate Increases</u>			
General wage increases	.120	.126	.131
Inequity increase	.030		
b. <u>Creep or Ripple Cost</u>	.025	.021	.023
c. <u>Cost of New or Changed Benefits</u>			
Vacation improvement		.040	
Added holiday	.020		

^{1/} A report is submitted whenever there is an economic settlement resulting from contractor-labor negotiations or occurrence of cost-of-living adjustment (COLA) in a 12-month period. If settlement includes a wage opening, calculate settlement cost to date of wage opening only (e.g., regard duration of agreement as 2 years if there is a wage opening at the beginning of the 3rd year of a 3-year agreement). If settlement includes a COLA or COLA has been paid, the projected payment, while indicated in parentheses, is not calculated in the cost of settlement; the actual payment is so calculated.

Shift premium increase	.030
Holiday rate increase	.020
Subsistence reduction	.030
Group life insurance improvement	.050

d. Cost-of-Living Adjustment (COLA)

(a) Nature of COLA (Narrative summary)

The new COLA clause provides an uncapped payment of one cent for each 0.4 rise in the Consumer Price Index (CPI-W) adjusted on an annual basis and rolled into the straight-time hourly earning on the effective dates: 5-7-74, 5-7-75, 5-6-76.

(b) Projected Payment (.10) 2/ (.10)

(c) Actual Payment

3. Calculation of Settlement

a. Settlement Cost for Each Year (2)
as Percent of Base (1) for Each Year 5.37% 5.62% 3.46%

b. Average Increased Hourly Cost for
All Hours in Contract Period

(1) First year settlement cost	.645
(2) Second year settlement cost (.237 x 2)	.474
(3) Third year settlement cost (.154 x 1)	.154
(4) Total settlement cost in contract period	1.273
(5) Weighted average increased cost for all hours in contract period (total divided by 3)	.424

2/ Numbers in parentheses are not included in calculations.

	(6) Weighted average increased cost as a percentage of original base	10.60%
c.	Annual Rate of Increase-Equal Timing	
	(1) Before compounding	5.05%
	After compounding	4.79%

INSTRUCTIONS FOR COMPLETION
OF REPORT ON SETTLEMENT 1/

1. The Base - The Existing Level of Wage and Benefit Costs Before the Settlement. 1/	
a. Average straight time hourly earnings (ASTHE), weighted for all employees in the unit, for all plant hours. To compute ASTHE per plant hour: divide straight time payroll (gross payroll minus pay for time not worked, including vacation, holiday, sick, and minus premium payments for overtime, weekend, holiday, and shift work) by plant hours (aggregate hours paid for during a specific period minus all leave hours). 4/	a. Average straight time hourly earnings for all plant hours. 2/ 3/ \$3.000
b. The average hourly cost of all benefits per plant hour. (Total net cost for each benefit per plant hour.) 5/	b. Average hourly cost of benefits per plant hour. 6/
	Premium pay for overtime work and for work on Saturday and Sunday, 6th-7th days, and holidays, shift differential or shift premiums. .186
	Paid leave, vacations, holidays, sick, and other time not worked but paid. .314
	Hospital and Medical Insurance .090
	Group Life Insurance .060
	Pensions and Retirement .140
	Social Security .110
	Workers' Compensation .010
	Unemployment Insurance .020
	Others, including isolation pay, travel allowance, subsistence, wage differentials or premiums for work in specified area or for particular job assignments. .070
	Subtotal <u>1.000</u>
	TOTAL BASE \$4.000

1/Roman numerals, alphabetical letters, and numbers appearing on instruction pages correspond to those shown on the report example.

2/Plant Hours are all hours worked whether paid at straight time or at a premium rate. In other words, plant hours are all hours paid minus all hours of paid leave including holidays. If an employee works 2 hours at double time, he or she works 2 plant hours, not 4.

3/Average Straight Time Hourly Earnings per Plant Hour deal with all plant hours, but these earnings do not include the premium component of overtime pay for work in excess of 40 hours on weekends, holidays, and pay for time not worked (vacation, holiday, sick).

4/For any representative period prior to settlement.

5/For most recent calendar or fiscal year or other period.

6/The premium component of overtime for work over 40 hours, on weekends, and holidays, is included as a benefit cost.

2. Total Settlement Costs

The cost of the settlement is the sum of (a), (b) and (c), below. With COLA, the revised cost of settlement is the sum of (a), (b), and (c), and the "Actual Payment" of (d).

		Settlement			Close		
a.	Wage adjustments of all types - general inequity, reevaluation. ^{7/}	a.	Wage adjustments				
			General wage increase	4% 4% 4%	.120	.126	.131
			Inequity increase	\$.10	.130	.126	.131
			Subtotal - A		.150	.126	.131
b.	Effect of wage increase on cost of existing benefits that vary with wage level (creep, ripple, rollup, loading factor, impact). ^{8/}	b.	Creep or ripple cost (See Illustration 1)		.025	.021	.023

^{7/}Contract reopenings permitted on specific dates are treated in the same fashion as new negotiations. At the time that the agreement providing for a reopening on wages or benefits at a specific date is negotiated, the increases to go into effect before the reopening are priced over the period until the reopening date. If some benefit changes incorporated in the initial settlement do not go into effect until the reopener, they are considered to be a part of the settlement reached under the reopening.

Group life insurance improved		.050
Shift premium	Add \$.06 & \$.08, 2nd & 3rd shifts	.030
Holiday rate	2 1/2 times instead of double time total	.020

^{8/}Wage increases will increase the cost of those benefits (such as shift differential, overtime, Saturday-Sunday, holiday premiums, and all paid leave) which are based on a percentage of wages and of those benefits (such as Workers' Compensation insurance) which otherwise increase with wage levels. Wage increases will not affect the cost of shift premiums expressed in cents per hour, or of unemployment compensation taxes which are normally levied only on the first \$6,000 of wages. See page VI-13, Illustration 1, for method of deriving creep.

INSTRUCTIONS FOR COMPLETION
OF REPORT ON SETTLEMENT

c. The cost of liberalization of existing benefits or of new benefits (e.g., added weeks of vacation, added paid holidays)	c. Changes in benefit cost	9th holiday	.020		
		Improved gratings	4th week added for 25 years	.040	
		Subsistence reduction	Reduced by \$.25 a day	<u>.030</u>	
		Subtotal		<u>.040</u>	<u>.090</u>
d. Cost of living adjustments (COLA) (See page VI-14, Illustration 2)	d. COLA cost Projected Payment Actual Payment			(.10)	(.10)
	Total			<u>.215</u>	<u>.237</u>
					<u>.154</u>

INSTRUCTIONS FOR COMPLETION
OF REPORT ON SETTLEMENT

3. <u>Calculation of Settlement</u>		<u>Settlement</u>			
		<u>Base</u>	<u>New Base</u>	<u>Cents Per Hour</u>	<u>% of Base</u>
a. <u>For each year</u> ^{9/}					
(1)	<u>First year.</u> Show first-year settlement costs in cents per hour and as a percentage of the base.	(1) \$4.00		\$.215	5.37
(2)	<u>Second year.</u> Compute the new base by adding the first year increase to the old base, then show second-year settlement costs in cents per hour and as a percentage of the new base.	(2)	\$4.215	\$.237	5.62
(3)	<u>Third and subsequent years.</u> Same procedure as in subparagraph 2, above.	(3)	\$4.452	\$.154	3.46
(4)	<u>Projected new base at end of contract and total cents per hour increase over the period of contract.</u>	(4)	\$4.606	\$.606	
b. <u>Average hourly cost for contract period</u>					
(1)	<u>First year's increase (.215) is in effect during the full 3-year term of the contract.</u>	(1)	.215 x 3 = .645		

^{9/}Wherever the word "year" is used, it refers to 12 months or any other time interval within the contract period. If settlement is for 36 months, with wage adjustments at 18-month intervals, or at the 1st, 9th, 18th, and 27th months, the computations in subparagraph b can be completed by converting the monthly intervals to fractions of years.

INSTRUCTIONS FOR COMPLETION
OF REPORT ON SETTLEMENT

(2) Second-year increase (.237) is in effect for 2 years.	(2)	$.237 \times 2 = .474$
(3) Third-year increase (.154) is in effect for 1 year.	(3)	$.154 \times 1 = \underline{.154}$
(4) Total	(4)	$\underline{\$1.273}$
(5) Weighted cost (\$1.273) divided by period of the contract (3) equals average added cost per hour for all hours in period of contract.	(5)	$\$1.273 \div 3 = .424$
(6) Weighted average increased cost as a percentage of original base.	(6)	$.424 \div \$4.00 = 10.60\%$

c. Annual Rate of Increase in Costs Over Period of the Contract Assuming Equal Timing

E = Total cents per hour increase over contract period (\$.606)

B = Beginning base (\$4.000)

M = Total percent increase (.1515) or 15.15%

P = Period of contract (3 years)

r = Annual rate of increase, before compounding (.0505)

R = Annual rate of increase, after compounding (.0479)

$M = \frac{E}{B} \text{ or } \frac{.606}{4.000} = .1515 \text{ or } 15.15\%$

1. $r = \frac{M}{P} = .0505 \text{ or } 5.05\%$

2. $R = r(1-r) = .0500(1.0000 - .0505) = .0479 \text{ or } 4.79\%$

4.79% is the yearly rate of increase which, when applied to the beginning base of \$4.00, will result in the new base of \$4.606 at the end of the 3-year period.

ILLUSTRATION 1

COMPUTATION OF CREEP FACTOR OR RIPPLE

To calculate the creep factor for any year:

1. Assume the average straight time hourly rate is \$3.00 per plant hour at the beginning of the year and that a wage increase of \$.15 per hour has been agreed upon.
2. List and total the existing hourly cost of those benefits which are affected by wage increases.

	<u>Cost Per Plant Hour</u>
All paid leave	.314
Workers' Compensation	.010
Social Security for worker earning \$29,700 or less	.055
Overtime, Sat. -Sun., 6th & 7th day, and holiday premiums	<u>.126</u>
TOTAL	<u>.505</u>

3. Calculate the total cost of these benefits as a percentage of average straight time hourly rate for plant hours.

$$.505 / \$3.00 = 16.83\%$$

4. Apply the above percentage to the total wage adjustment for the period to derive the creep factor.

$$16.83\% \text{ of } \$.15 = \$.025$$

ILLUSTRATION 2

APPLICATION OF COST-OF-LIVING ADJUSTMENT (COLA)

1. Provide a narrative summary of the nature of the COLA, including amount of payment, identity of price index, method of calculating payment, date(s) of payment and indication of date(s), and methodology of roll into the wage base, if applicable. Also, furnish any other information relevant to the calculation of the adjustment (e.g., ceiling, corridor).
2. Calculation of cents-per-hour of COLA follows the formula in the particular contract.
3. The annual Projected Payment is based on the movement of the relevant price index during the 12 months ended just prior to contract negotiations. Identify the 12-month period.
4. The Actual Payment is reported on an annual basis and added as a separate cost item under Total Settlement Cost. When cost-of-living adjustments are more frequent than once a year, they are reported as an annual weighted average according to instructions for calculating average hourly cost of contract period (see page VI-6, paragraph 3b). Whenever the time interval in the contract period is other than 12 months, the timing of the revision of settlement report based on COLA payment is made to coincide with the selected interval (see page VI-11, footnote 9).
5. Page VI-15 contains a revision of the example "Report on Settlement" after the beginning of the 2nd year of the contract. The data recorded in the previous settlement report are brought forward. Revisions are made only where the COLA payment impacts on estimate of cost.

REVISED REPORT ON SETTLEMENT

CONTRACTOR	<u>XYZ Company</u>	DATE OF THIS REPORT	<u>5-20-74</u>	
UNION	<u>IBEW #26</u>			
NO. OF EMPLOYEES IN UNIT	<u>87</u>			
PERIOD OF AGREEMENT: FROM	<u>5-7-73</u>	<u>EFFECTIVE DATE OF CHANGES</u>		
	THROUGH <u>5-6-76</u>			
<u>Note:</u>	This revision is based on COLA payment	<u>5-7-73</u>	<u>5-7-74</u>	<u>5-7-75</u>
1.	<u>Base</u>	4.000	4.215 <u>10/</u>	4.684 <u>10/</u>
	a. Average straight time hourly earnings per plant hour	3.000	3.150 <u>10/</u>	3.476 <u>10/</u>
	b. Average hourly cost of benefits per plan hour	1.000	1.065	1.208 <u>10/</u>
2.	<u>Total Settlement Costs</u>	<u>.215</u>	<u>.469 10/</u>	<u>.150 10/</u>
	a. Cost of Wage Rate Increase:			
	General wage Increases	.120	.126	.131
	Inequity increase	.030		
	b. Creep or Ripple Cost	.025	.053 <u>10/</u>	.019 <u>10/</u>
	c. Cost of New or Changed Benefits			
	Vacation improvement		.040	
	Added holiday	.020		
	Shift premium increase	.030		
	Holiday rate increase	.020		
	Subsistence reduction	- .030		
	Group life insurance improvement		.050	

10/ Indicates revised entry.

d.	Cost-of-Living Adjustment (COLA)			
	Nature of COLA (unchanged)			
	Projected Payment	(.10)	<u>11/</u>	(.10) <u>11/</u>
	Actual Payment	.20	<u>10/</u>	
3.	Calculation of Settlement			
a.	Settlement cost for each year (II) as percent of base (I) for each year	5.37%	10.63% <u>10/</u>	3.22% <u>10/</u>
b.	Average increased hourly cost for all hours in contract period:			
(1)	First year settlement cost (.215 x 3)	.645		
(2)	Second year settlement cost (.469 x 2)	.938	<u>10/</u>	
(3)	Third year settlement cost (.150 x 1)	.150	<u>10/</u>	
(4)	Total settlement cost in contract period	1.733	<u>10/</u>	
(5)	Weighted average increased cost for all hours in contract period (total divided by 3)	.578	<u>10/</u>	
(6)	Weighted average increased cost as a percentage of original base	14.45%	<u>10/</u>	
c.	Annual Rate of increase - Equal Timing			
(1)	Before compounding	16.44%	<u>10/</u>	
(2)	After compounding	12.35%	<u>10/</u>	

10/ Indicates revised entry.

11/ Number in parentheses is not included in calculations.

CHAPTER VII

COLLECTIVE BARGAINING AGREEMENTS

1. GENERAL.

- a. Purpose. The Director of Contractor Human Resource Management maintains current data on wages, travel, conditions of employment, and other fringe benefits for all bargaining unit contractor employees. The data are used by management in making decisions on special labor relations matters.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or -controlled sites who have negotiated collective bargaining agreements with unions representing their employees.
- c. Frequency and Due Dates. Agreements are to be furnished as indicated in Paragraph 2.

2. INSTRUCTIONS. Heads of Departmental Elements shall provide the Director of Contractor Human Resource Management one copy of contractor collective bargaining agreements, including construction project agreements, for all management and operating contractors in the following manner:

- a. Forward one copy (reproduced or typed) of the agreement, including letter agreements, descriptions of oral or other "side-bar" agreements, interpretations, and exceptions as soon as possible following the conclusion of negotiations.
- b. Forward a printed version of the agreement within 10 working days after receipt by the Departmental Element.
- c. Forward any addendum or modifications agreed upon at a subsequent date within 10 working days following the agreed effective date.

CHAPTER VIII

CONTRACTORS' ORGANIZATION CHARTS

1. GENERAL.

- a. Purpose. To provide information about contractor organizational structure and composition.
- b. Coverage. Management and operating contractors and other designated contractors performing long-term contracts at Department-owned or -controlled sites provide the organization charts.
- c. Frequency and Due Dates. Contractors will submit one copy of the organization chart to the Director of Contractor Human Resource Management through the appropriate Departmental Element. Initial charts should be submitted within 45 days of the effective date of the contract. Subsequent charts shall be submitted at least annually as of 1-1, or on the occasion of a major change in key personnel. Submission of organization charts to the Director of Contractor Human Resource Management is in addition to the initial organization chart submitted by the contractor under the requirements of DEAR 970.5204-12.

2. INSTRUCTIONS. Where contractors prepare organization charts for their own use or submit them to their parent companies, such charts usually will meet Departmental needs and will be acceptable if they contain the following minimum information.

- a. Identification of major organizational units (such as divisions or departments) and their principal components.
- b. Names and titles of managerial personnel down through division or department heads.
- c. Number of employees in each unit and in total (include full-time, part-time, and temporary employees).
- d. The following information should be included on the organization chart: name of contractor, location of facility, name of Departmental Element administering the contract, contract number, signature of contractor official approving the chart, total number of employees, and the effective date of the chart.
- e. Charts should not contain restricted data within the meaning of the Department of Energy Reorganization Act.

CHAPTER IX

REPORT ON CONTRACTOR SALARY INCREASE FUND

1. GENERAL.

- a. Purpose. Employee compensation is a major cost item under DOE operating-type contracts. Assuring the reasonableness of such costs is a significant part of DOE's total responsibility for the judicious expenditure of public funds. This report establishes a standard format for the collection and reporting of information of costs for employee salary increases. The data will provide Departmental Elements current and summary information on contractor salary funds and trends, and will establish a basis for comparison with data from industry.
- b. Coverage. Information covering planned costs for salary/wage increases in the forthcoming salary administration year for the contractors listed in Attachment IX-1 is covered in this report. All types of costs for salary increases (promotion, merit, and reclassification) are to be reported. Excluded from the reporting requirement are salary or wage increases to employees who are covered by bargaining agreements (see Chapter VII), employees who are paid under an established rate-time progression schedule, and employees who are classified as part-time or temporary employees.
- c. Frequency and Due Dates. Reports (original only) are submitted to the Director of Contractor Human Resource Management through the appropriate Departmental Element, and are due 30 days after the beginning of the contractor's salary program year, or as soon as practical thereafter. Forms for submitting this report are not provided because of the small quantities needed. Reporting offices should use the report format shown on page 1X-5, Attachment IX-2, for reporting purposes.

2. INSTRUCTIONS - REPORT FORMAT.

- a. Group Designation. It is important that the two primary employee categories, "Total Exempt" and "Total Nonexempt", be reported separately. It is useful, for purposes of comparison, to have the exempt group designations be those listed on the report format, but it is not essential as long as the designations for the groups are descriptive of their composition or the composition is footnoted.
- b. Number of Eligible Employees. This refers to the number of employees within a group who are eligible to receive consideration for a salary increase in the ensuing increase fund period. It does not refer to the number of employees expected to receive an increase.

- c. Beginning Payroll. This is the sum of the base salaries, at the beginning of the increase fund period, of those employees reported in the column headed "No. Eligible Employees. "
 - d. Percent. This is the dollar sum of the increase fund divided by the beginning payroll, expressed as a percentage.
3. CONTRACTORS COVERED BY REPORTING REQUIREMENTS. Following is a list of DOE contractors which are required to submit the Contractor Salary-Wage Increase Expenditure Report (see Attachment IX-1).

CONTRACTORS REQUIRED TO SUBMIT
CONTRACTOR SALARY-WAGE INCREASE EXPENDITURE REPORT

<u>CONTRACTOR</u>	<u>ADDITIONAL INFORMATION</u>	<u>CITY</u>	<u>STATE</u>	<u>F.O.</u>
Associated Universities, Inc.	Brookhaven National Laboratory	Upton	NY	CH
Battelle	Pacific Northwest Laboratory	Richland	WA	RI
Bendix Corporation		Kansas City	MO	AL
Bendix Field Engineering Corporation		Grand Junction	CO	II
Boeing Computer Service		Richland	WA	RI
Computer Science Corporation		Las Vegas	NV	NV
EG&G	Idaho National Engineering Laboratory	Idaho Falls	ID	ID
EG&G	Energy Measurements Group	Las Vegas	NV	NV
E.I. DuPont de Nemours	Savannah River Plant	Aiken	SC	SR
Fenix and Scisson, Inc.		Las Vegas	NV	NV
General Electric Company	Knolls Atomic Power Laboratory	Schenectady	NY	ST
Goodyear Atomic Corporation		Pikeston	OH	OR
Holmes and Narver, Inc.	Pacific Test Division	Honolulu	HI	NV
Holmes and Narver, Inc.	On-Continent Test Division	Las Vegas	NV	NV
Iowa State University	Ames Research Laboratory	Ames	IA	CH
J. A. Jones Construction		Richland	WA	RI
Kaiser Engineering Hanford		Richland	WA	RI
Lovelace Medical Foundation		Albuquerque	NM	AL
Martin Marietta Energy Systems, Inc.	Oak Ridge Gaseous Diffusion Plant	Oak Ridge	TN	OR
Martin Marietta Energy Systems, Inc.	Oak Ridge National Laboratory	Oak Ridge	TN	OR
Martin Marietta Energy Systems, Inc.	Paducah Gaseous Diffusion Plant	Paducah	KY	OR
Martin Marietta Energy Systems, Inc.	Y-12 Plant	Oak Ridge	TN	OR
Mason & Hanger - Silas Mason Co.	Pantex Plant	Amarillo	TX	AL
Midwest Research Institute	Solar Energy Research Institute	Golden	CO	CH
Monsanto Research Corporation	Mound Laboratory	Miramisburg	OH	AL
NLO, Inc.		Fernald	OH	OR
Oak Ridge Associated Universities, Inc.		Oak Ridge	TN	OR
Princeton University	Princeton Plasma Physics Laboratory	Princeton	NJ	CH
Reynolds Electrical and Engineering Co., Inc.		Las Vegas	NV	NV
Rockwell Hanford Operations		Richland	WA	RI
Rockwell International	Energy Technology Engineering Center	Lanoga Park	CA	SF
Rockwell International	Rocky Flats Plant	Rocky Flats	CO	AL
Ross Aviation, Inc.		Albuquerque	NM	AL
Rust Engineering Company		Oak Ridge	TN	OR
Sandia Corporation	Sandia National Laboratory	Albuquerque	NM	AL
Science Application, Inc.		Oak Ridge	TN	OR
Stanford University	Stanford Linear Accelerator Center	Stanford	CA	SF
The Zia Co.		Los Alamos	NM	AL
UMC Nuclear Industries, Inc.		Richland	WA	RI
Universities Research Association	Fermi National Accelerator Laboratory	Batavia	IL	CH
University of California	Lawrence Berkeley National Laboratory	Berkeley	CA	SF
University of California	Lawrence Livermore National Laboratory	Livermore	CA	SF
University of California	Los Alamos National Laboratory	Los Alamos	CA	AL
University of Chicago	Argonne National Laboratory	Argonne	IL	CH
Wackenhut Services, Inc.		Las Vegas	NV	NV
West Valley Nuclear Services Co., Inc.		West Valley	NY	ID
Westinghouse Electric Corporation	Bettis Atomic Power Laboratory	Pittsburgh	PA	PN
Westinghouse Hanford		Richland	WA	RI
Westinghouse Idaho Nuclear Company, Inc.	Idaho National Engineering Laboratory	Idaho Falls	ID	ID
William Brothers Engineering Co.		Elk Hills	CA	NR

CONTRACTOR SALARY-WAGE INCREASE EXPENDITURE REPORT

Program Secretarial Officer or DOE Field Office Headquarters, Washington, DC

DOE Contractor HRD Company Location Germantown, Maryland

Report Prepared by John Doe Dated 4-30-91

1. Period 10-1-80 to 9-1-81

2. Are any employees excluded from the increase fund by virtue of salary, position in the organization, or other? If answer is "Yes", give:

a. Classification(s) and number of such employees excluded:
Manager (1), Assistant Manager (1)

b. Estimated cost of salary increases to be granted these employees:
\$12,000

c. Reasons for exclusion from increase fund:
Carried on Parent Company (Acme Corp.) Payroll

3. Salary adjustments excluded from increase fund, if any. Identify by type and explain: Increases granted to new exempt employees promoted from hourly/weekly jobs after August 31, 1980.

4. Increase Fund Authorized.

a. Total Fund for Exempt Personnel 1/ \$175,862 10%

b. Total Fund for Nonexempt Personnel 1/ \$ 16,700 10%

5. Composition of Increase Fund.

<u>Group Designation</u>	<u>No Eligible Employees</u>	<u>Beginning Payroll</u>	<u>Percent</u>
a. Total Exempt:	<u>70</u>	<u>\$1,758,621.50</u>	<u>10.0%</u>
Top Management	<u>1</u>	<u>38,828.50</u>	<u>9.6%</u>
S&Es, Inc. Superv.	<u>310</u>	<u>864,125.00</u>	<u>10.5%</u>
Admin. -Other	<u>390</u>	<u>855,668.00</u>	<u>9.5%</u>
b. Total Nonexempt	<u>100</u>	<u>167,000.00</u>	<u>10.0%</u>

Comments: _____

1/ If there is a difference between authorized amount and total shown in 5a and 5b, explain in "Comments."

CHAPTER X

CODE TABLES

1. FACILITY CODE - TABLE 5501. The following is a "working" list of contractors with code identifications, and will be revised continually, as necessary, upon the addition or deletion of contractors subject to the provisions of the Order, as determined by the contracting officer. New facility codes will be provided by the Office of Contractor Human Resource Management. A revised list will be published periodically, (See Figure X-1.)

FACILITY CODE	FACILITY	ST	FO
PRODUCTION			
WEAPONS PRODUCTION			
ALB1101	Bendix Corporation	KC	AL
ALG1101	General Electric Co.	IL	AL
HMF1101	Martin Marietta Energy Systems, Inc.	TN	OR
ALM1101	Mason & Hanger-Silas Mason Co.	TX	AL
ALR1101	Monsanto Research Corporation	OH	AL
RFZ1102	Rockwell International	CO	AL
SOURCE AND SPECIAL NUCLEAR MATERIALS			
CRB1201	C. I. DuPont de Nemours & Co.	SC	SP
ORB1201	Goodyear Atomic Corporation	OH	OR
HMF1201	Martin Marietta Energy Systems, Inc.	TN	OR
HMF1202	Martin Marietta Energy Systems, Inc.	TX	OR
AMU1201	AMU, Inc.	IL	OR
VVK1201	VVK Company	OH	OR
ARR1201	Rockwell Hanford Operations	WA	OR
RIH1201	UNC Nuclear Industries	NC	OR
RESEARCH AND DEVELOPMENT			
ACADEMIC OPERATED LABORATORIES			
LDH2101	Associated Universities, Inc.	NY	CH
FKF2101	Iowa State University	IA	CH
OGU2101	Princeton University	CA	SF
PLL2101	Stanford University	CA	SF
CHF2101	Universities Research Association	IL	CH
HGH2101	University of California	CA	SF
HGH2102	University of California	CA	SF
HGH2103	University of California	NY	SF
HGH2105	University of California	CA	SF
HGH2104	University of California	NM	AL
GCH2101	University of Chicago	IL	CH
GCH2102	University of Chicago	ID	CH
PRODUCTION			
WEAPONS PRODUCTION			
	Kansas City Divisor		
	Rocky Flats Plant		
	Y-12 Plant		
	Pantex Plant		
	Mound Laboratory		
	Rocky Flats Plant		
SOURCE AND SPECIAL NUCLEAR MATERIALS			
	Alton		
	Oriskany		
	Oak Ridge Gaseous Diffusion Plant		
	Paducah Gaseous Diffusion Plant		
	Ashtabula		
	Richland		
RESEARCH AND DEVELOPMENT			
ACADEMIC OPERATED LABORATORIES			
	Brookhaven National Laboratory		
	Ames Research Laboratory		
	Princeton Plasma Physics Laboratory		
	Stanford Linear Accelerator Center		
	Fermi National Accelerator Laboratory		
	Lawrence Berkeley National Laboratory		
	Lawrence Livermore National Laboratory		
	Lawrence Livermore National Laboratory		
	Lawrence Livermore National Laboratory		
	Los Alamos National Laboratory		
	Argonne National Laboratory		
	ANL Reactor Facilities		

Figure X-1
Facility Code

<u>FACILITY CODE</u>	<u>FACILITY</u>		<u>ST</u>	<u>FO</u>
<u>INDUSTRIAL AND NONPROFIT OPERATED LABORATORIES AND FACILITIES</u>				
CHD2201	Battelle	Pacific Northwest Laboratory	Richland	WA RL
NVB2207	EG&G	Idaho National Engineering Laboratory	Idaho Falls	ID ID
SRB2201	E. I. DuPont de Nemours & Co.	Savannah River Plant (Technical)	Aiken	SC SR
ALG2201	General Electric Co.	Knolls Atomic Power Laboratory	Schenectady	NY ST
ALG2203	General Electric Co.	Knolls Atomic Power Laboratory	Windsor	CT ST
HMF2101	Martin Marietta Energy Systems, Inc.	Oak Ridge National Laboratory	Oak Ridge	TN OR
PUI2201	Midwest Research Institute	Solar Energy Research Institute	Golden	CO CH
RFZ2201	Rockwell International	Energy Technology Engineering Center	Canoga Park	CA SF
ALS2201	Sandia Corporation	Sandia National Laboratory	Albuquerque	NM AL
ALS2202	Sandia Corporation	Sandia National Laboratory	Livermore	CA AL
PND2201	Westinghouse Electric Corporation	Bettis Atomic Power Laboratory	Pittsburgh	PA PN
PND2202	Westinghouse Electric Corporation	Naval Reactor Facility	Idaho Falls	ID PN
RLV2201	Westinghouse Hanford Company	Hanford Engineering Development Laboratory	Richland	WA RL
XOQ2201	Westinghouse Idaho Nuclear Company, Inc.	Idaho National Engineering Laboratory	Idaho Falls	ID ID
<u>OTHER RESEARCH AND DEVELOPMENT FACILITIES</u>				
TCF2301	Lovelace Medical Foundation		Albuquerque	NM AL
AZP2301	Mountain State Energy	Montana Energy Research and Development Laboratory	Butte	MT ID
ORH2301	Oak Ridge Associated Universities, Inc.		Oak Ridge	TN OR
XBV2301	University of Georgia	Savannah River Ecology Laboratory	Aiken	SC SR
HWN2301	West Valley Nuclear Services Co., Inc.		West Valley	NY ID
<u>MAINTENANCE AND SUPPORT</u>				
GFB3101	Bendix Field Engineering		Grand Junction	CO ID
TMA3101	Boeing Computer Service		Richland	WA RL
RLF3102	Computer Science Corporation		Las Vegas	NV NV
NVB3101	EG&G	Kirtland Operations	Albuquerque	NV NV
NVB3102	EG&G	Technical Support Facility	Las Vegas	NV NV
NVB3105	EG&G	Technical Support Facility	Los Alamos	NV NV
NVB3103	EG&G	Technical Support Facility	San Ramon	CA NV
NVB3104	EG&G	Technical Support Facility	Santa Barbara	CA NV
NVB3106	EG&G	Technical Support Facility	Woburn	MA NV
LCV3101	Fenix & Scisson, Inc.		Las Vegas	NV NV
RLM3101	Hanford Environmental Health Foundation		Richland	WA RL

Figure X-1

<u>FACILITY CODE</u>	<u>FACILITY</u>			<u>ST</u>	<u>FO</u>
NVD3105	Holmes & Narver, Inc.	Pacific Test Division	Enewetok Atoll	HI	NV
NVD3101	Holmes & Narver, Inc.	Pacific Test Division	Honolulu	HI	NV
NVD3104	Holmes & Narver, Inc.	Pacific Test Division	Johnston Atoll	HI	NV
NVD3102	Holmes & Narver, Inc.	On-Continent Test Division	Las Vegas	NV	NV
NVD3103	Holmes & Narver, Inc.	On-Continent Test Division	Mercury	NV	NV
NVD3106	Holmes & Narver, Inc.	On-Continent Test Division	Tonopah	NV	NV
EYF3101	Kaiser Engineering Hanford		Richland	WA	RL
LAA3101	Lawrence-Allison and Associates West, Inc.		Casper	WY	NR
UFG3101	Lockwood Greene Engineers, Inc.		Oak Ridge	TN	OR
HMF3101	Martin Marietta Energy Systems, Inc.	General Staff	Oak Ridge	TN	OR
NVG3101	Reynolds Electrical & Engineering Co., Inc.		Las Vegas	NV	NV
NVG3102	Reynolds Electrical & Engineering Co., Inc.		Mercury	NV	NV
NVG3103	Reynolds Electrical & Engineering Co., Inc.		Tonopah	NV	NV
HPL3101	Ross Aviation, Inc.		Albuquerque	NM	AL
GUW3101	Science Application, Inc.		Oak Ridge	TN	OR
ALZ3101	The Zia Co.		Los Alamos	NM	AL
NJE3101	Wackenhut Services, Inc.		Las Vegas	NV	NV
NJE3102	Wackenhut Services, Inc.		Aiken	SC	SR
BRR3101	William Brothers Engineering Co.		Elk Hills	CA	NR
<u>CONSTRUCTION</u>					
SRB4101	E. I. DuPont de Nemours & Co.	Savannah River Construction	Aiken	SC	SR
RLT4101	J. A. Jones Construction Company		Richland	WA	RL
ORK4101	Rust Engineering Company		Oak Ridge	TN	OR
IET4101	Stone & Webster Engineering Corporation	Gaseous Centrifuge Enrichment Project	Piketon	OH	OR
IET4102	Stone & Webster Engineering Corporation	Boston Paid-Field Assigned	Piketon	OH	OR

2. TYPE OF WORK CODE - TABLE 5505. This table, shown in Figure X-2, identifies the different types of work in which employees are engaged. It is to be used in connection with the "Annual Report of Contractor Employment by Work Type" (DOE-F-3230.5) (see Chapter IV).

<u>Code</u>	<u>Type of Work</u>	<u>Description</u>
01	<u>Production</u>	Fabrication and assembly work including associated engineering, testing, quality control and production control, of the product being fabricated or assembled.
02	<u>Research and Development</u>	Product/concept development/enhancement through application of basic research, experimental work, and other associated engineering and scientific disciplines in a laboratory or non-laboratory environment.
03	<u>Facility Maintenance</u>	The maintenance, repair, restoration, or placement of constituent parts of site facilities for purposes of prolonging and sustaining the facility as an operational entity.
04	<u>Support Services - Security</u>	Work involving the physical area of facility security and its associated and necessary disciplines.
05	<u>Support Services - EDP</u>	Work involving computer support.
06	<u>Support Services - Other</u>	Work directly related to "support" but not within the above definitions.
07	<u>Construction</u>	The construction, addition, expansion, or other substantial improvement of site facilities.
08	<u>Facility Design</u>	Architectural and engineering planning and design of site facilities maintenance, repair, construction, and similar projects.
50	<u>Weapons Testing</u>	All work related to weapons testing as further defined by using the codes prescribed above as the second digit of the weapons testing code (e.g., weapons testing R&D = Code 52). If none of the above applies, use the basic 50 code.

Figure X-2
Type of Work Code

3. EMPLOYEE CLASS CODE - TABLE 5506. This table, shown in Figure X-3, is to be used in connection with the "Report of Contractor Hours and Earnings" (DOE-F-3230.3).

<u>Code</u>	<u>Defi ni ti on</u>
10	NONEXEMPT
11	Producti on
12	Cleri cal
13	Techni ci an
20	EXEMPT
21	Sci enti sts and Engi neers
22	Executi ve, Admi ni strati ve, Profiessi onal
23	Sci enti sts and Engi neers who are Supervi sors

Figure X-3
Employee Class Code

4. EMPLOYEE CATEGORY CODE - TABLE 5509. This table, shown in Figure X-4, is to be used in connection with the "Report of Expenditures for Employee Supplementary Compensation" (DOE F 3233.4) and the "Report of Compensation" (DOE F 3230.6a).

<u>Code</u>	<u>Defini ti on</u>
1	Exempt
2	Nonexempt Bargai ni ng Uni t
3	Nonexempt Non-Bargai ni ng Uni t

Figure X-4
Employee Category Code

5. REVISION OF CODE TABLES. The tables and codes contained in this chapter may be modified from time to time. Revisions will be published as necessary.