

INSTRUCTIONS

SES Data for Performance Appraisal System Certification, System Standards and Metrics, and Annual Report

Reminders —

Please enter data into the attached template. Please note that there are two worksheets (tabs) in the template: General Information and Annual Reporting Data.

So data can be analyzed in a timely manner, ensure that:

- The SES member's name or unique identifier is consistent from year to year,
- The actual compensation received as pay adjustments by the member is the data reported,
- The full amount of any awards granted to the member is the data reported, and
- All comments are included in the "Explanatory Comments" column, not in the data fields.

Please contact Art Walker at Arthur.walker@opm.gov if you have any questions about this template.

The descriptions below explain the information to be entered within each field of the template.

GENERAL INFORMATION

Agency or Component(s) — Name of agency or component(s) covered by appraisal system being certified.

Point of Contact Name, Phone Number, and Email — Name of agency point of contact, phone number, and email address to clarify any questions about the agency's data.

Date — The date this report is submitted to OPM.

These data represent compensation and awards based on the ratings for, or granted during, the following appraisal period: Start: End: — The start and end dates of the appraisal period for the ratings reported.

Summary Rating Pattern (D, F, G, or H) — The summary rating pattern used:

- Pattern D for rating levels 1, 2, 3 (Note: OPM will not certify appraisal systems using this pattern.)
- Pattern F for rating levels 1, 2, 3, 5
- Pattern G for rating levels 1, 2, 3, 4
- Pattern H for rating levels 1, 2, 3, 4, 5

Performance Award Pool Amount (\$) and (%) — Enter the total dollar amount of the performance awards pool and the percentage of aggregate base pay on which the awards pool was calculated. The total amount of the performance award pool paid during a fiscal year by an agency may not exceed the greater of —

- Ten percent of the aggregate rates of basic pay for career SES in the agency during the preceding fiscal year; or
- Twenty percent of the average annual rates of basic pay for career SES in the agency during the preceding fiscal year.

Performance Award Pool Payout — Enter the percentage of the awards pool that was actually awarded in performance awards.

Date of Performance-Based Pay Adjustments — The date that most of the "annual" pay adjustments from the column labeled "Performance-Based Pay Adjustment" were made. These adjustments start the clock on the 12-month rule and typically are paid the first pay period in January.

Total Members — The total number of SES members, including career, non-career, and limited.

Total Members Paid Above Level III of the Executive Schedule — The total number of SES members (including career, non-career, and limited) with final rates of basic pay, after pay adjustments, above level III of the Executive Schedule.

Total Members Eligible to be Rated — The total number of SES members eligible to be rated.

Total Members Not Rated — The total number of SES members who did not receive a rating for the appraisal period, e.g., those who have not been under an appraisal period for the minimum period.

ANNUAL REPORTING DATA

SES Members — The last name and first initial, last name and first name, or other unique identifier for each SES member. Agencies must ensure that the same name or identifier is used for the same employee in subsequent years to allow for longitudinal analysis. (e.g., Smith, J should be reported as Smith, J for each report; Smith, John cannot be substituted. If Jackson, V is identified as 857 then she should be reported as 857 each year.)

Tier — If the agency uses pay tiers, the pay tier assignment of each SES member (i.e., control points within the broad SES pay range). The pay tiers are to be reported as ordinal numbers with number 1 designating the highest.

- 1 - Highest pay range or maximum pay rate
- 2 - Middle range
- 3 – Lowest pay range or maximum pay rate

Appt. Type — The appointment type for each SES member using one of the following indicators:

- C - Career,
- N - Non-Career, or
- L - Limited.

New Appt. — Place an X in this column to indicate SES members newly appointed to the agency or component who have not received a performance rating or pay adjustment based on the appraisal period reported.

Rating — The member's summary rating for the appraisal period reported. The summary rating will be one of the following:

- 5-Outstanding or equivalent,
- 4-Exceeds Fully Successful or equivalent,
- 3-Fully Successful or equivalent,
- 2-Minimally Successful or equivalent,
- 1-Unacceptable or equivalent, or
- X-Not Rated.

Compensation —

- Additional Pay Adjustments and Exceptions to 12-Month Rule (\$): The dollar amount of a member's pay adjustment if an additional adjustment (other than the annual adjustment or MRP) was given during the rating period reported. An explanation of the basis for the adjustment must be included in the comments column.
- Additional Pay Adjustments and Exceptions to 12-Month Rule (%): The amount of the pay adjustment expressed as a percent.
- Rate of Basic Pay Prior to Performance-Based Pay Adjustments: The member's rate of pay at the end of the appraisal period being reported. Unless additional pay adjustments occurred during the rating period, this amount should match the previous year amount for rate of basic pay after performance-based pay adjustments.

- **Performance-Based Pay Adjustment (\$):** The dollar amount of a member's pay adjustment based on the performance rating reported and paid under the authority of 5 CFR 534.404(b)(1) and (g), excluding any amount provided independently under the authority of 5 CFR 534.404(b)(4) to maintain relative position (MRP) within the rate range at the same time the rate range is adjusted.
 - Use negative numbers when executive pay was reduced,.
 - Put a zero when no pay adjustment was given based on agency pay policy.
 - Leave blank when no pay adjustment was given because the executive retired, left the agency, or could not be rated (include explanatory comment).
- **Performance-Based Pay Adjustment (%):** The amount of the performance-based pay adjustment expressed as a percent.
- **Pay Adjustment to Maintain Relative Position (MRP) (\$):** The dollar amount of any increase in the rate of basic pay of the SES member made solely for the purpose of maintaining all or some portion of the member's relative position in the SES rate range at the time the rate range is adjusted as authorized under 5 CFR 534.404(b)(4) (this is the amount excluded above).
 - Put a zero when no pay adjustment was given, including when an executive is already paid above EX-III and does not meet the requirements for granting one;
 - Leave blank when the agency does not use this authority or when no pay adjustment was given because the executive retired, left the agency, or could not be rated (include explanatory comment).
- **Pay Adjustment to Maintain Relative Position (%):** The amount of the MRP pay adjustment expressed as a percent.
- **Rate of Basic Pay After Pay Adjustments:** The member's rate of pay after all adjustments based on the rating for the appraisal period being reported. (Rate of Basic Pay After Pay Adjustments equals the Rate of Basic Pay Before Performance-Based Pay Adjustments plus any rating-based adjustments reported.)

Awards —

- **Performance (\$):** The dollar amount for a performance award given based on the rating for the appraisal period reported.
 - Put a zero when no performance award was given.
 - Leave blank when no performance award was given because the executive retired, left the agency, or could not be rated (include explanatory comment).
- **Performance (%):** The amount of a performance award given based on the rating for the appraisal period reported expressed as a percent.
- **Cash (\$):** The total dollar amount for individual or group cash awards given during the period reported. If multiple cash awards were given, include an explanation and the number and amount of separate awards in the comments column.
- **Cash (%):** The total amount of individual or group cash awards given during the period reported expressed as a percent. If multiple cash awards were given, include an explanation and the number and percentage of separate awards in the comments column.
- **Presidential Rank (\$):** The dollar amount of a Presidential Rank award granted during the period reported. Report the full amount of the Rank award.
- **Presidential Rank (%):** The amount of the Presidential Rank award granted during the period reported expressed as a percent (i.e., 20% or 35%).

Excess of Aggregate Limit (\$)— Enter the total dollar amount that was delivered in January of the current year because it was in excess of the aggregate limitation on compensation for the period being reported, as established by 5 U.S.C. 5307 (basic pay, relocation, retention, recruitment incentives, cash awards, and lump sum payments). When a member would receive total payments subject to the limitation that would exceed that limitation, he/she would be paid up to the allowable limit in the calendar year payments are authorized and would receive the remainder at the beginning of the next calendar year. Since the annual data report is due in March of each year, report the excess amount from the report period now deliverable in January.

- **Example:** if the VP salary was \$215,700 and an executive under a certified system earned \$250,000 in various covered payments during the year plus had received \$25,000 at the

Blank Pay Adjustment/Awards —

- R – Retired
- L – Left Agency
- I – Ineligible for MRP

Explanatory Comments — Explain special circumstances affecting the SES members' ratings, pay or awards. Also explain additional pay adjustments and exceptions to the 12-month rule. Include the exact exception reason and note legal citation. Any time either of the compensation columns (performance-based pay adjustment or MRP) or the performance award column contains a zero or a blank, list the reason in this section (e.g., agency policy—usually for a zero, or no longer with the agency—usually for a blank based on retired, separated, or transferred employees). All comments should appear in this column, no comments should appear in other data fields.