



UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Washington, DC 20415

Employee Services

Monday, March 8, 2021

MEMORANDUM FOR: HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: JAMES CRAFT, DEPUTY ASSOCIATE DIRECTOR, SENIOR EXECUTIVE SERVICES AND PERFORMANCE MANAGEMENT

Subject: Annual Data Call for Senior Executive Service (SES), Senior-Level (SL), and Scientific or Professional (ST) Performance Ratings, Pay, and Awards for Fiscal Year 2020

This memorandum announces the U.S. Office of Personnel Management's (OPM) annual data call to Executive Departments and Agencies, and Offices of Inspectors General (OIG), for information on Fiscal Year 2020 final summary performance ratings, and subsequent pay and awards data concerning: (1) agency Senior Executive Service (SES) members; (2) OIG SES members; (3) Senior-Level (SL) and Scientific or Professional (ST) employees; and (4) OIG SL/ST employees – all collectively referred to as “Senior Employees.” Reports in response to this memorandum should be submitted to OPM no later than close of business on Friday, May 28, 2021. Agencies that have been delayed in conducting career SES performance appraisal due to the 120-day moratorium following a new Presidential administration ([5 U.S.C. 4314\(b\)\(1\)\(C\)](#)) may contact OPM for an extension.

Data reports submitted are analyzed for compliance with applicable statutes and regulations, and reviewed to determine correlation of performance ratings, and ratings-based pay and awards when reviewing agencies' requests for certification of SES and SL/ST performance appraisal systems. As in previous years, OPM's review of the data will help ensure–

- the Senior Employee performance appraisal process results in meaningful distinctions being made based on relative performance; and
- Senior Employee performance ratings are the primary basis for performance-based pay and awards decisions.

The submission of data on SES and SL/ST ratings, as well as corresponding performance-based pay adjustments and awards, and levels of pay provided to those Senior Employees, is a procedural requirement that must be met for an agency to receive system certification, pursuant to [5 CFR 430.405](#). Therefore, agencies should take steps to ensure the data reports submitted to satisfy this requirement are accurate and free of errors, compliant with the associated instructions, and reflective of the results of the appraisal system, as not doing so may impact the agency's ability to attain system certification. Because of the critical nature of the data submitted, the Oversight Official responsible for overseeing the results of the applicable system must review the data for accuracy and completeness prior to submitting it to OPM.

Agencies, Departments and OIGs must–

- Report accurate ratings, pay, and awards data that reflect award and pay actions that have been effected (i.e., are not prospective); data must have been reviewed by the high-level agency official responsible for overseeing the results of the appraisal system.
- Protect personally identifiable information by following proper data security procedures and sending access passwords via separate email.
- Provide OPM with separate submissions for each system when reporting for more than one appraisal system (e.g., different rating cycles, appraisal rating patterns, employee coverage, etc.).
- Use the appropriate spreadsheet(s) and follow instructions for using the spreadsheets when submitting data reports.
- Submit data by the established deadline of May 28, 2021, as not doing so may impact the agency's ability to obtain performance appraisal system certification.

The separate spreadsheet(s) and instructions for completing each spreadsheet are located in the Resources tab on the SES and SL/ST MAX Portal (link: <https://community.max.gov/x/q4hJO>). Submit data reports by email to OPM's Executive Resources and Performance Management office at annualdatacall@opm.gov, using the appropriate template(s) included on the SES and SL/ST MAX Portal, no later than close of business on May 28, 2021.

If you have any questions regarding your organization's submission of performance ratings, pay, and awards data, please contact annualdatacall@opm.gov.

cc: Chief Human Capital Officers (CHCOs), Deputy CHCOs, Human Resources Directors and Council of the Inspectors General on Integrity and Efficiency