



Office of the
Director

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT
Washington, DC 20415

January 5, 2006

MEMORANDUM FOR CHIEF HUMAN CAPITAL OFFICERS

FROM: LINDA M. SPRINGER,
DIRECTOR

SUBJECT: Senior Employee Appraisal System Certification
For Calendar Year 2006

As you know, in July 2004, the Office of Personnel Management (OPM) and the Office of Management and Budget (OMB) jointly issued regulations setting forth the criteria for obtaining certification of performance appraisal systems for members of the Senior Executive Service (SES) and employees in senior-level (SL) and scientific or professional (ST) positions. This enabled an agency with a certified SES appraisal system(s) to (1) pay its highest-performing SES members above the rate for level III of the Executive Schedule – up to the rate for level II of the Executive Schedule; and (2) apply a higher aggregate limitation – up to the Vice President’s salary – to SES members. An agency with a certified SL/ST appraisal system also may apply a higher aggregate limitation – up to the Vice President’s salary – to those employees.

OPM and OMB certified 34 appraisal systems in 2004. So far in 2005, 33 appraisal systems have been either fully or provisionally certified. As you prepare your requests for calendar year 2006 certification of your SES and SL/ST appraisal system(s), I want to share our expectations based on our certification experiences thus far.

Based upon our certification experience of the past two cycles, OPM will conduct a rigorous review of all requests for certification of senior employee appraisal systems for calendar year 2006, whether the agency is requesting provisional or full certification. Agencies requesting certification must submit information showing the improvements the agency has made in response to comments from OPM or OMB and discussions with OPM staff.

Within the next few weeks we will request from your executive resources division, via email, the submission of FY 2005 agency data on SES and SL/ST employees’ summary performance ratings, pay, and awards. To reduce duplication of effort, the data submitted with this report will also be used for certification. Instructions for preparation of this annual report will be included in the email.

CON 131-64-4
September 1993

My staff is available to provide additional information and to answer questions you might have regarding this process. Please contact Ms. Quasette Crowner, Chief, Executive Resources Group, Center for Leadership and Executive Resources, at 202-606-8046, Quasette.Crowner@opm.gov. Should members of your staff have questions about the certification process, please have them contact your agency's OPM Human Capital Officer.

cc: Executive Resources Contacts
Human Resources Directors

Attachments

1. [Submission Requirements for Certification of Performance Appraisal Systems](#)
2. [Instructions for Submitting CY2006 Certification Requests](#)
3. [SES Performance Appraisal System Certification and Annual Reporting Data](#)
4. [SL/ST Performance Appraisal System Certification and Annual Reporting Data](#)

SUBMISSION REQUIREMENTS FOR CERTIFICATION OF PERFORMANCE APPRAISAL SYSTEMS*

The regulations allowing agencies to implement a pay-for-performance system for members of the Senior Executive Service (SES) and apply a higher aggregate compensation limitation to both senior executives and senior professionals (i.e., employees in senior-level (SL) and scientific or professional (ST) positions) implement significant features of a Federal compensation system that gives the highest pay to agencies' highest performing employees. In order to access the flexibilities offered by these regulations, agencies must first obtain certification of their applicable performance appraisal system(s) under subpart D of 5 CFR part 430. To obtain certification, agencies must demonstrate that their appraisal system(s) makes meaningful distinctions based on relative performance.

This document provides guidance to Federal agencies when applying for performance appraisal system certification. Initially, guidance focused on first time certification. We have updated this guidance to reflect documents agencies should submit for certification based on our shared two years experience with pay for performance. The following table lists the source documents an agency must submit to fulfill the requirements for certification.

Please use the fourth (blank) column in the table to indicate which source document(s) the agency is submitting to fulfill the requirement shown in the first two columns. In addition, please use the fourth column to indicate the location in the cited document where the required information can be found.

Where multiple possible source documents are listed, please submit the agency source document(s) that best meets the requirement. For example, if you have several documents that can demonstrate how your agency uses rating levels to differentiate senior employee performance, please select the document that best illustrates this differentiation.

For agencies subject to 5 U.S.C. chapter 43, the performance appraisal system must be approved by OPM. If your agency does not have an approved system, or if your agency has revised its system, please submit a request for system approval concurrently with your certification request.

If you have questions on certification or which source documents to submit, please contact your OPM Human Capital Officer.

NOTE: For certification purposes, *performance appraisal system* means the policies, practices, and procedures an agency establishes under 5 U.S.C. chapter 43 and subparts Band C of 5 CFR part 430, or other applicable legal authority, for planning, monitoring, developing, evaluating, and rewarding employee performance. This includes appraisal systems and appraisal programs for senior professionals as defined at 5 CFR 430.203 and performance management systems for senior executives as defined at 5 CFR 430.303. Senior professionals may be covered by a program under their agency's umbrella appraisal system approved by OPM or may be covered by a separate appraisal system approved by OPM.

* This combines previous guidance for provisional and full certification

REGULATORY REQUIREMENT	LEGAL CITATION (5 CFR)	DOCUMENTS TO SUBMIT Where given a choice of multiple source documents, please submit the document(s) that best meets the regulatory requirement.	AGENCY DOCUMENTATION Please use this column to indicate which source document the agency is submitting to fulfill the regulatory requirement and where the specific information can be found.
1. Written request for provisional or full certification	430.405(b)	Letter to the Director of OPM from the head of the agency or designee. The letter must specify the type of certification requested (provisional or full) and for which calendar year.	
2. Full description of the appraisal system(s)	430.405(b)(1)	Performance appraisal system description	
3. Organizational and employee coverage information	430.405(b)(1)(i)	Performance appraisal system description	
4. Applicable administrative instructions and implementing guidance	430.405(b)(1)(ii)	<ul style="list-style-type: none"> • Performance appraisal system description • Operating manual • Blank appraisal form • Memoranda to employees • Written instructions for raters or reviewers 	
5. Rating levels that differentiate senior employee performance	430.405(b)(1)(iii)	<ul style="list-style-type: none"> • Performance appraisal system description • Senior employee performance plans that show performance levels • The rating level pattern used for reporting data to the Central Personnel Data File — <ul style="list-style-type: none"> ○ for senior executives, pattern F (Levels 1, 2, 3, 5), pattern G (Levels 1, 2, 3, 4), or pattern H (Levels 1, 2, 3, 4, 5) 	

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		<ul style="list-style-type: none"> ○ for senior professionals, pattern B (Levels 1, 3, 5), pattern E (Levels 1, 3, 4, 5), pattern F (Levels 1, 2, 3, 5), pattern G (Levels 1, 2, 3, 4), or pattern H (Levels 1, 2, 3, 4, 5) ● Blank appraisal form 	
6. Clearly defined process for reviewing the initial summary ratings and ratings of record of senior employees to ensure ratings are not given arbitrarily or on a rotational basis	430.405(b)(2)(i)	<ul style="list-style-type: none"> ● Performance appraisal system description ● Operating manual ● Memoranda or written instructions for raters, reviewers, or Performance Review Board members ● Narrative that describes the process 	
7. Clearly defined process for reviewing the performance plans of the subordinates of supervisory senior employees to verify that supervisory senior employees clearly link subordinates'	430.405(b)(2)(ii)(A)	<ul style="list-style-type: none"> ● Performance appraisal system description ● Operating manual ● Narrative that describes the process 	

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performance plans with organizational goals			
8. Clearly defined process for reviewing the performance plans and ratings of the subordinates of supervisory senior employees to verify that supervisory senior employees make performance distinctions in the appraisal of their subordinates that reflect individual and organizational performance	430.405(b)(2)(ii)(B)	<ul style="list-style-type: none"> • Performance appraisal system description • Operating manual • Narrative that describes the process 	
9. The appraisal system(s) meets the certification criteria set forth in 5 CFR 430.404(a)(1)-(9)	430.404(a)(1)-(9) 430.405(b)(4)	1) Alignment Agencies must submit all three — <ul style="list-style-type: none"> • Senior employee performance plans* that show clear linkage to agency/organization annual performance plans 	

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		<ul style="list-style-type: none"> • Agency’s strategic plan, annual performance plan, or applicable strategic planning document(s) to establish alignment with employee performance plans • Performance appraisal system description that explains how the agency links senior employee performance plans to strategic planning documents <p>2) Consultation Agencies must submit both —</p> <ul style="list-style-type: none"> • Senior employee performance plans* that show employees were provided their plans at the beginning of the appraisal period and show that employees were involved in developing the performance plans • Performance appraisal system description that explains how employees are involved in developing performance plans and how performance plans are communicated to senior employees at the beginning of the appraisal period <p>3) Results Agencies must submit both —</p>	

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		<ul style="list-style-type: none"> • Senior employee performance plans* that show elements include organizational and individual results and requirements/standards that are observable, measurable, and/or demonstrable • Performance appraisal system description that explains how performance plans are written to reflect organizational and individual results that are observable, measurable, and/or demonstrable <p>4) Balance Agencies must submit both —</p> <ul style="list-style-type: none"> • Senior employee performance plans* that show appropriate measures such as employee and/or customer/stakeholder feedback; quality, quantity, timeliness, and cost effectiveness; technical, leadership, and/or managerial competencies • Performance appraisal system description that requires performance expectations to include balanced measures <p>5) Assessments and Guidelines</p>	

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		<ul style="list-style-type: none"> • Agency head or designee’s guidance to rating and reviewing officials and Performance Review Board (PRB) members • Narrative that describes how the agency assessed organizational performance and how it communicated that performance to rating and reviewing officials and PRB members • OPM may request additional performance information <p>6) Oversight Agencies must submit all three —</p> <ul style="list-style-type: none"> • Document that identifies the position of the individual responsible for the appraisal and organizational assessment processes and their results • Narrative that describes how senior employee ratings and awards take into account, as appropriate, the assessment of the agency’s performance • Performance appraisal system description that requires the individual responsible to ensure that the appraisal process makes meaningful distinctions and correlates to 	

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		<p>organizational performance, and a description of the process</p> <p>7) Accountability Agencies must submit both —</p> <ul style="list-style-type: none"> • Senior employee performance plans* that include an element holding senior employees accountable for rigorous performance management and for aligning their subordinate employees’ performance plans to organizational goals • Performance appraisal system description that requires holding senior employees accountable for rigorous performance management and for aligning their subordinate employees’ performance plans to organizational goals <p>8) Performance Differentiation</p> <ul style="list-style-type: none"> • Ratings data for all senior employees covered by the appraisal system(s) to be certified — <ul style="list-style-type: none"> ○ For full certification – data from two appraisal periods preceding the certification request 	

REGULATORY REQUIREMENT	LEGAL CITATION (5 CFR)	DOCUMENTS TO SUBMIT Where given a choice of multiple source documents, please submit the document(s) that best meets the regulatory requirement.	AGENCY DOCUMENTATION Please use this column to indicate which source document the agency is submitting to fulfill the regulatory requirement and where the specific information can be found.
		<ul style="list-style-type: none"> ○ For provision certification – data from the appraisal period preceding the certification request <p>9) Pay Differentiation</p> <ul style="list-style-type: none"> ● Pay and rating-based awards data for all senior employees covered by the appraisal system(s) to be certified — <ul style="list-style-type: none"> ○ For full certification – data from two appraisal periods preceding the certification request ○ For provisional certification – data from the appraisal period preceding the certification request 	

* For senior employee performance plans, agencies must provide either a 10 percent sample of covered employee performance plans or a total of 20 plans, whichever is greater. For agencies with fewer than 20 covered employees, all employee performance plans must be submitted.

Instructions for Submitting CY2006 Certification Requests

Note: For general guidance on submitting a request for full or provisional certification, please see attached instructions for certification, "Submission Requirements for Certification of Performance Appraisal Systems," derived from the criteria cited in 5 CFR 430.404. The instructions below augment the general guidance.

Content of Submissions

Agencies requesting **provisional** certification must submit the following:

- A letter requesting provisional certification for calendar year 2006;
- A copy of your agency's strategic plan, annual performance plan, or applicable strategic planning document(s) with which executives' plans align;
- A copy of the SES or SL/ST appraisal system that the agency requests to be certified;
- A 10 percent sample of covered senior employee performance plans or a total of 20 plans, whichever is greater (for agencies with fewer than 20 covered employees, **all** employee performance plans must be submitted);
- A report of the ratings data resulting from the 2005 appraisal process and pay adjustments and awards based on those ratings (submitted electronically, using the spreadsheet supplied by OPM);
- A description of the process for assessing organizational performance, how the agency communicated that performance to rating officials, and the guidance provided for how to incorporate organizational performance into the appraisal process (including copies of applicable documents where possible); and
- A description of the oversight of the appraisal process and corresponding pay and awards determinations.

Agencies requesting **full** certification for 2006 and those that were fully certified in 2004 must submit the same information as listed above for provisional certification, with the following exceptions:

- A letter requesting full certification for calendar year 2006
- The reports must include ratings data from the 2004 and 2005 appraisal processes and pay adjustments and awards based on those ratings (submitted electronically, using a separate spreadsheet for each year supplied by OPM)

Explanation of Certification Criteria Affecting Senior Employee Performance Plans

The sample of covered senior employee performance plans submitted with a certification request will be assessed against the following certification criteria. Plans must meet all the criteria or show substantial improvement over earlier submissions for provisional certification to be granted.

All performance plans in the sample sent with a request for full certification must completely meet all the criteria. Explanations and examples of these criteria follow.

Alignment

Performance plans for senior employees are to be derived from, and clearly linked to, the agency's mission, Government Performance and Results Act (GPRA) strategic goals, program and policy objectives, and/or annual performance plans and budget priorities. Agencies will find it is easier to align senior employee performance plans with organizational goals when organizational goals are clear, measurable, and include specific targets.

Alignment should be clear and transparent so that senior employees can see how their performance plans directly link to organizational goal achievement. Ideally, the performance plans of agency senior employees show clear responsibility for specific organizational goals and objectives (established in GPRA-required annual performance plans). Merely including a generic statement in performance plans that senior employees support organizational goals is not adequate for communicating or demonstrating alignment.

Examples of Alignment. Senior employee performance plans can show alignment using several different methods. Here are some examples:

- **Agency Goals are Part of the Form.** The appraisal form includes a block in which the rating official and senior employee indicate the organization's annual performance goals or objectives with which the results-focused element aligns. Be sure that organizational goals are not merely copied into senior employee performance plans or referred to without the element also including the specific results, with metrics, which the employee is to accomplish in order to support that goal. In other words, the element should directly link to the organizational goal and include clear, credible measures of performance (quality, quantity, timeliness, and/or cost-effectiveness). For example, if the agency strategic goal is "Improve watershed condition" and the agency's annual performance plan objective is "24% of inventoried forest and grassland watersheds are in fully functioning condition," then part of the business result element for a Regional Director of this agency might state "24% of inventoried forest and grassland watersheds are in fully functioning condition." The agency goal and objective can be included in a block on the appraisal form, as long as the performance requirement is specific, with clear results and measures.
- **Agency Goals are Incorporated into Element Language.** The language in the element explains the organizational goal and objective with which the element aligns. For example, "Critical Results #1: To accomplish the agency's strategic goal #1 (Improve the Effectiveness of Information and Analysis on the U.S. Economy), the quarterly Employment Cost Index (ECI), quarterly Employer Costs for Employee Compensation (ECEC), and benefits incidence and provisions series are produced in accordance with the agency security and confidentiality principles and meet established quality standards. The ECI is produced and disseminated according to a pre-announced schedule."
- **Agency Goals are the Critical Elements in Performance Plans.** Some agencies have broad strategic goals that can be used in senior employee performance plans as elements. For example, if the agency has a broad strategic goal of "Provide best value for customer agencies and taxpayers," the agency could transfer that goal into senior employee performance plans as a critical element, with the requirement that for fully successful performance, the executive must "Achieve 40-44% of dollar value of eligible service

orders awarded with performance-based statements of work.” As long as the requirement for that element holds the senior employee accountable for a specific result, has measures of performance, and supports any other specific targets found in an organization’s annual work plan, this method of alignment can be effective. Including these specific annual targets in the plan, as well, would help increase the transparency of the alignment, i.e., a clearer line of sight for the employee.

Results

Senior employees must be held accountable for achieving expected results through at least one critical element in their performance plan. Even though one or more critical elements that focus on competencies (such as leadership or business acumen, for example) can also be valuable to include in plans, a results-oriented performance plan should describe most requirements in terms of results and must have at least one critical element that holds a senior employee accountable for achieving a result that directly supports organizational goal achievement. Business results should be the goals established in the organization’s annual performance plan or work plan assigned to the executive and his/her organization. Critical elements that merely describe activities without incorporating the desired, measurable result of those activities or simply restate organizational goals without also including the metrics for evaluating performance against those goals do not meet this certification criterion.

Examples of Results-Oriented Elements. Below are a few examples of results-oriented performance requirements. Note that the results being measured are products or services, not a competency, behavior, or activity.

- A performance requirement for an executive responsible for an adult literacy program with the intended outcome of improved literacy in adults might be written as, “Within the Western region, at least 95 percent of participating adults passed a standard literacy test during the fiscal year. The program had less than a 2 percent drop-out rate.” The result is a high success rate on a literacy test among participating adults and the accompanying improvement in adult literacy in that region. It is aligned to an organizational goal that specifies a certain percentage in adult literacy improvement.
- A performance requirement for an executive in an organization that processes casework and has an organizational goal of “Make the right decision in the disability process as early as possible” might state, “Fully Successful: the average processing time for initial disability claims is 90 to 97 calendar days, and the net accuracy rate is 97%.” The result is accurate decisions made promptly.
- A performance requirement for a Chief Financial Officer responsible for the budget of an agency might be written as, “The agency’s budget for the upcoming fiscal year is completed by June 15. The budget contains well-justified descriptions of budget requests, is accurate, and meets all the specifications as outlined by OMB.” The result is a complete budget document. It supports the agency’s strategic plan goal of operational excellence.

Balance

Senior employee performance plans **must** include appropriate measures or indicators of employee and/or customer feedback; quality, quantity, timeliness, and cost-effectiveness, as applicable; and those technical, leadership, and/or managerial competencies or behaviors that contribute to and are necessary to distinguish outstanding performance.

Customer Perspective. Customer perspective measures consider the organization's performance through the eyes of its customers, so that the organization retains a careful focus on customer needs and satisfaction. To achieve the best in business performance, agencies must incorporate reasonable customer needs consistent with the agency's mission and must take them into account as part of their performance planning. To do this, Federal executives must determine who their customers are, and what these customers expect from them, in the context of the employing agency's business purpose and mission.

Customer Perspective performance measures should not measure popularity. Sometimes the interests of public groups or other agencies differ from, or are inconsistent with, those of the agency that employs the executive or conflict with the employing agency's mission. All executives represent the head of the employing agency. Therefore, when an agency factors customer feedback into the performance rating process, the appraising official makes the rating determination, not the customer.

Examples of Customer Perspective. For executives of line organizations (i.e., an organization that directly affects the agency's mission), customers may include a wide variety of public groups, other agencies, other State and local governments, and Congress. Examples of customer perspective measures for line organizations could include the following:

- At least 75% of visitors to a specific national park had a satisfactory experience during their visit, as reported in an exit survey.
- At least 80% of patients on a specific ward in a hospital rate the nursing staff as exceptionally competent and helpful.
- At least 60% of agencies commenting say that the rules proposed by a regulatory agency are flexible, easy to read and follow, and take into account agencies' opinions.

Support organizations, such as a human resources office, a building services office, or an acquisitions office, also will have goals and measures, but most of the customers of support organizations will likely be employees who work for the same agency. Examples of customer perspective measures for various support organizations could include the following:

- 65% of managers participating in an agency survey report they receive adequate assistance when they call their human resources office.
- 75% of employees surveyed report they are generally satisfied with the food service provider in their building.
- 80% of surveyed managers say the procurement office provides adequate instruction on new procurement procedures.

Employee Perspective. The employee perspective factor focuses attention on the performance of the key internal processes that drive the organization, including employee development and retention. This perspective directs attention to the basis of all future success — the organization’s people and infrastructure. Adequate investment in these areas is critical to long-term success.

The employee perspective factor is not a “popularity contest.” Rather, this factor focuses on providing a healthy work environment for employees, which includes how executives lead and motivate their employees and address development and training needs.

Examples of employee perspective. Employee perspective measures often include determining the degree of positive employee response through employee surveys such as the following:

- 68% of employees participating in an agency survey report they received the training they need to perform their job, and over half report their training needs are assessed.
- 48% of employees participating in an agency survey report that awards in their work unit depend on how well employees perform their jobs.

Accountability

In the case of supervisory senior employees, performance plans and ratings must reflect the degree to which performance requirements for individual subordinate employees clearly align with organization mission, GPRA strategic goals, or other program or policy objectives and take into account the degree of rigor in the appraisal of their subordinate employees. Supervisory plans must include a critical element that holds SES and SL/ST supervisors accountable for the performance management of their subordinates.

Example. An example of part of a critical element in an executive plan that meets the accountability requirements is:

- **Leadership:** The executive ensures that performance plans of employees within his/her area of responsibility are aligned with organizational goals and that employees are appraised realistically against clear, measurable standards of performance.

INSTRUCTIONS

SES Performance Appraisal System Certification and Annual Reporting Data

Please enter data into the attached template. Please contact your Human Capital Officer if you have any questions about this template.

The template is an Excel spreadsheet that has macros embedded in it. Security levels in Excel may need to be modified to enable macros to run within Excel. The security setting in Excel needs to be at medium (recommended) or low. Please call your IT support if you need assistance in adjusting Excel security settings.

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, Phone Number and Email Address — 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 the following appraisal period: Start: End: — The start and end dates of appraisal period for the ratings reported.

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

- Pattern D for rating levels 1, 2, 3
- 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 a performance awards pool and the percentage of aggregate base pay on which the awards were calculated. The total amount of the performance pool paid during a fiscal year by an agency may not exceed the greater of —

- Ten percent of the aggregate career SES rates of basic pay for the agency; or
- Twenty percent of the average annual rates of basic pay for career SES appointees of the agency.

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 typically start the clock on the 12-month rule.

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 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, i.e., those who have not been under an appraisal period for the minimum period.

DATA FIELDS

SES Members — The last name and first initial or other unique identifier for each SES member. If a unique identifier other than the name is used, agencies must ensure that the same identifier is used for the same employee in subsequent years to allow for longitudinal analysis.

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. — 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 or equivalent,
- 3-Fully Successful or equivalent,
- 2-Minimally Successful or equivalent,
- 1-Unacceptable or equivalent, or
- N-Not Rated.

Compensation —

- 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.
- Performance-Based Pay Adjustment (\$): The total dollar amount of a member's pay adjustment associated with performance excluding any amounts provided to maintain relative position within the rate range under 5 CFR 534.404(b)(4)(i) at the same time the rate range is adjusted.
- Performance-Based Pay Adjustment (%): The amount of the performance-based pay adjustment expressed as a percentage.
- Pay Adjustment to Maintain Relative Position (\$): The total dollar amount of any increase in the rate of basic pay of the SES member made for the purpose of maintaining the member's relative position in the SES rate range under 5 CFR 534.404(b)(4)(i) (this is the amount excluded above).
- Pay Adjustment to Maintain Relative Position (%): The amount of the pay adjustment to maintain relative position expressed as a percentage.
- 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.

Awards —

- Performance (\$): The total dollar amount for a performance award given based on the rating for the appraisal period reported.
- Performance (%): The percentage of base pay of a performance award given based on the rating for the appraisal period reported.
- Cash (\$): The total dollar amount for individual or group cash awards given during the period reported.
- Cash (%): The percentage of base pay of individual or group cash awards given during the period reported.
- Presidential Rank (\$): The total dollar amount of a Presidential Rank award given during the period reported.

Aggregate Compensation —

- Aggregate Compensation Amount (\$): Enter the total dollar amount of basic pay, relocation, retention, recruitment bonuses, cash awards, and lump sum payments in excess of the aggregate limitation on compensation received in any given calendar year, as established by 5 U.S.C. 5307.

SES Performance Appraisal System Certification and Annual Reporting Data

Agency or Component(s) ¹ : _____

Date: _____

Point of Contact Name, Phone Number and Email: _____

These data represent compensation and awards based on the ratings for the following appraisal period:

Start: _____ End: _____

Summary Rating Pattern (D, F, G or H): _____

Performance Award Pool Amount: \$ _____ % _____

Total Members: _____

Date of Performance-Based Pay Adjustments: _____

Total Members Paid Above level III of the Executive Schedule: _____

Total Members Eligible to be Rated: _____

Total Members Not Rated: _____

SES Members	Appt. Type	New Appt.	Rating	Compensation						Awards				Aggregate Compensation	
Last Name, First Initial (or a unique personal identifier)	C, N, or L	Place "X" for New Appt.	5, 4, 3, 2, 1, or N	Rate of Basic Pay Prior to Performance- Based Pay Adjustments	Performance- Based Pay Adjustment ²		Pay Adjustment to Maintain Relative Position (if granted)		Rate of Basic Pay After Pay Adjustments ³	Perform- ance (\$)	Perform- ance (%)	Cash (\$)	Cash (%)	Presidential Rank (\$)	Aggregate Compensation Amount (\$)

1. A separate submission is required for each certified system.
2. More than one adjustment in a 12-month period must be listed as a separate entry.
3. Rate of Basic Pay After Pay Adjustments should be equal to the Rate of Basic Pay Before Performance-Based Pay Adjustments plus any adjustments.

INSTRUCTIONS

SL/ST Performance Appraisal System Certification and Annual Reporting Data

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- Pattern E for rating levels 1, 3, 4, 5
- 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

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 typically start the clock on the 12-month rule.

Total Employees — The total number of SL or ST employees.

Total Employees Eligible to be Rated — The total number of SL or ST employees eligible to be rated.

Total Employees Not Rated — The total number of SL or ST employees who did not receive a rating for the appraisal period, i.e., those who have not been under an appraisal period for the minimum period.

DATA FIELDS

SL/ST Employees — The last name and first initial or other unique identifier for each SLIST employee. If a unique identifier other than the name is used, agencies must ensure that the same identifier is used for the same employee in subsequent years to allow for longitudinal analysis.

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

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

Compensation —

- Rate of Basic Pay **Prior to** Performance-Based Pay Adjustments: The employee's rate of pay at the end of the appraisal period being reported.
- Performance-Based Pay Adjustment (\$): The total dollar amount of an employee's pay adjustment associated with performance.
- Performance-Based Pay Adjustment (%): The amount of the performance-based pay adjustment expressed as a percentage.
- General Increase (\$): The total dollar amount of an annual adjustment in pay under 5 CFR 534.504.
- General Increase (%): The amount of the annual adjustment referenced above expressed as a percentage.
- Rate of Basic Pay **After** Pay Adjustments: The employee's rate of pay after all adjustments based on the rating for the appraisal period being reported.

Awards —

- Performance (\$): The total dollar amount for a performance award given based on the rating for the appraisal period reported.
- Performance (%): The percentage of base pay of a performance award given based on the rating for the appraisal period reported.
- Cash (\$): The total dollar amount for individual or group cash awards given during the period reported.
- Cash (%): The percentage of base pay of individual or group cash awards given during the period reported.
- Presidential Rank (\$): The total dollar amount of a Presidential Rank award given during the period reported.

Aggregate Compensation —

- Aggregate Compensation Amount (\$): Enter the total dollar amount of basic pay, relocation, retention, recruitment bonuses, cash awards, and lump sum payments in excess of the aggregate limitation on compensation received in any given calendar year, as established by 5 U.S.C. 5307.

SL/ST Performance Appraisal System Certification and Annual Reporting Data

Agency or Component(s) ¹ : _____

Date: _____

Point of Contact, Phone Number and Email: _____

These data represent compensation and awards based on the ratings for the following appraisal period:

Start: _____ End: _____

Summary Rating Pattern (B, E, F, G or H): _____

Date of Performance-Based Pay Adjustments: _____

Total Employees: _____

Total Employees Eligible to be Rated: _____

Total Employees Not Rated: _____

SL/ST Members	Rating	Compensation						Awards					Aggregate Compensation
Last Name, First Initial (or a unique personal identifier)	5, 4, 3, 2, 1, or N	Rate of Basic Pay Prior to Performance- Based Pay Adjustments	Performance- Based Pay Adjustment ² (\$)	Performance- Based Pay Adjustment ² (%)	General Increase (\$)	General Increase (%)	Rate of Basic Pay After Pay Adjustments ³	Perform- ance (\$)	Perform- ance (%)	Cash (\$)	Cash (%)	Presiden- tial Rank (\$)	Aggregate Compensation Amount (\$)

1. A separate submission is required for each certified system.
2. More than one adjustment in a 12-month period must be listed as a separate entry.
3. Rate of Basic Pay After Pay Adjustments should be equal to the Rate of Basic Pay Before Performance-Based Pay Adjustments plus any adjustments.