



United States  
Office of  
Personnel Management

Washington, DC 20415

JUN 23 2005

MEMORANDUM FOR HUMAN RESOURCES DIRECTORS

FROM: *Nancy H. Kichak*  
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ACTING ASSOCIATE DIRECTOR  
STRATEGIC HUMAN RESOURCES POLICY

Subject: FY 2004 Senior Executive Service (SES) Performance Ratings  
and Pay-for-Performance Summary Data Report

The Office of Personnel Management (OPM) annually reports on agency SES performance ratings, base pay adjustments, and performance bonuses. This memorandum requests that you submit such information for any rating cycle that ended during calendar year (CY) 2004. We have provided the attached format to assist you in this regard.

- For performance awards, your submission should cover all SES career appointees and Presidential appointees who are former career appointees and who retained eligibility for performance awards.
- For performance ratings and adjustments to rates of basic pay, your submission should cover SES career, noncareer, and limited appointees and Presidential appointees who are former career appointees and who retained eligibility for performance ratings and basic pay.
- If an agency operates more than one OPM-approved SES performance management system, it should submit a separate report for each system. Do not combine the results from different performance systems together.

Additionally, please provide the total amount and percentage of aggregate SES base salary allocated to fund 2004 performance bonuses. You should also provide aggregate data for each summary-level rating permitted under an approved SES performance management system.

Submissions are due to OPM no later than **July 22, 2005**. Some agencies may have already submitted the required information as part of a CY 2004 or 2005 SES performance appraisal system certification request. If your agency has done so, and the information we require has not changed since that submission, you may request that we use it in lieu of completing this form. If we require additional information, we will contact you.

As always, my staff is prepared to assist you. Questions regarding this report may be directed to Mr. Hughes Turner, Director, Center for Leadership and Executive Resources Policy, at (202) 606-1811 or [Hughes.Turner@opm.gov](mailto:Hughes.Turner@opm.gov) or Ms. Quasette Crowner of the same office at (202) 606-1579 or [Quasette.Crowner@opm.gov](mailto:Quasette.Crowner@opm.gov).

Attachment

## INSTRUCTIONS FOR THE ANNUAL SENIOR EXECUTIVE SERVICE RATINGS AND PAY-FOR-PERFORMANCE SUMMARY DATA REPORT

### PART A – GENERAL INFORMATION

1. **Agency or Component(s)** – Enter the agency or component(s) covered by the SES performance appraisal system being reported.
2. **Date** – Enter the date of this report.
3. **Point of Contact** – Enter the full name of the agency point of contact.
4. **Points of Contact's Telephone Number** – Enter the area code and phone number, including extension.
5. **Point of Contact's Email Address** – Enter the complete email address.
6. **SES Performance Appraisal System Certification** – Enter an "X" in the field that describes your agency's SES performance appraisal certification type, if applicable. If your agency's SES performance appraisal system is not certified, enter an "X" in the "N/A" field.
7. **SES Performance Appraisal System Certification Date** – Enter the date your agency's SES performance appraisal system was certified, if applicable.
8. **Performance Cycle** – Enter the beginning and ending dates of your agency's SES performance appraisal period.
9. **Summary Rating Pattern** –
  - Enter "D" for rating levels 1, 2, and 3.
  - Enter "F" for rating levels 1, 2, 3, and 5.
  - Enter "G" for rating levels 1, 2, 3, and 4.
  - Enter "H" for rating levels 1, 2, 3, 4, and 5.
10. **Total SES Members** – Enter the total number of SES members, including career, non-career, and limited term.
11. **Total SES Members Eligible to be Rated** – Enter the total number of SES members eligible to be rated.
12. **Total SES Members Not Rated** – Enter the total number of SES members who did not receive a performance rating for the reported performance cycle (for example, those who were not under an appraisal cycle for the minimum period of time).

## **PART B – DATA**

1. **Number of SES Members** - Enter the number of SES members to which the data entries apply. If the number is more than 1, all data items, including aggregate compensation, must be identical for each member for this line entry. For example, if there are 20 members whose data items are identical; put the number "20" in the cell. If the data is different in any of the cells in that row, you should enter the member's data in a different row. In other words, all data items must be identical for grouped data.
2. **Appt Type** - Enter the appointment type for the SES member using "C" for Career, "N" for Non-Career, or "L" for Limited appointments.
3. **New Appt** – Enter an "X" in the field if the SES member is newly appointed to the agency or component and has not received a performance rating or pay adjustment based on the reported performance cycle.
4. **Rating** – Enter the SES member's summary rating for the reported performance cycle. The summary rating will be one of the following:
  - "5" for Outstanding or equivalent
  - "4" for Exceeds Fully Successful or equivalent
  - "3" for Fully Successful or equivalent
  - "2" for Minimally Successful or equivalent
  - "1" for Unacceptable or equivalent
  - "N" for Not Rated
5. **Rate of Basic Pay Prior to Performance-Based Pay Adjustment** – Enter the SES member's rate of basic pay at the end of the reported performance cycle.
6. **Rate of Basic Pay After Performance-Based Pay Adjustment** – Enter the SES member's rate of basic pay after all performance-based pay adjustments have been made, following the end of the reported performance cycle.
7. **Pay Amount to Maintain Relative Position** – If applicable, enter the 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)).
8. **Pct. of Performance-Based Pay Adjustment** - Enter the percentage of basic salary representing the SES member's basic pay adjustment associated with performance.
9. **Performance Award Pool Amount** (in dollars and percent) - Enter the dollar amount set aside for the agency's SES performance awards and the

percentage of aggregate base pay on which these 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 or SES rates of basic pay for the agency as of the end of the fiscal year prior to the fiscal year in which the award payments are made, or
- Twenty percent of the average annual rates of basic pay for career SES appointees of the agency as of the end of the fiscal year prior to the fiscal year in which the award payments are made.

10. **Performance Amount** - If applicable, enter the dollar amount of the performance award received by the SES member for the reported performance cycle.
11. **Performance Pct.** - Enter the percentage of basic pay for the performance award received by the SES member for the reported performance cycle.
12. **Cash Amount** - Enter the dollar amount received by the SES member for individual or group cash awards during the reported performance cycle.
13. **Cash Pct.** - Enter the percentage of basic pay received by the SES member in the form of individual or group cash awards during the reported performance cycle.

#### **PART B – DATA (Continued)**

14. **Distinguished Presidential Rank Amount** - Enter the dollar amount of the Presidential Rank Award received by the SES member during the fiscal year. This amount is equal to 35% of the SES member's base pay.
15. **Meritorious Presidential Rank Amount** - Enter the dollar amount of the Meritorious Presidential Rank received by the SES member during the fiscal year. This amount is equal to 20% of the SES member's base pay.
16. **Aggregate Compensation Amount** - Enter the dollar amount of total aggregate compensation as defined in 5 CFR Part 530, Subpart B, as of the end of the calendar year.

**PART C - Comments**



