

SUMMARY SES PERFORMANCE STATISTICS FY 2001 AND FY 2002

- The number of career SES members decreased from **6118** in FY2001 to **5960** in FY2002.
- The number of career SES members who received a performance rating decreased from **5927** in FY2001 to **5626** in 2002.
- The percentage of career SES members rated at the highest level (either 3-level, 4-level or 5-level system) decreased from **84%** in FY2001 to **74.6%** in FY2002.
 - **1587**, or 38% are in 3-level systems (1 Unsatisfactory, 2 Minimally Satisfactory, 3 Fully Satisfactory)
 - **198**, or 5% are in 4-level systems (1 Unsatisfactory, 2 Minimally Satisfactory, 3 Fully Satisfactory, 4 Exceeds Expectations)
 - **2416**, or 57% are in 5-level systems (1 Unsatisfactory, 2 Minimally Satisfactory, 3 Fully Satisfactory, 4 Exceeds Expectations, 5 Superior and Far Exceeds Expectations)
- The number of career SES members eligible to receive a performance award decreased from **5915** in FY2001 to **5597** in FY2002.
- The percentage of eligible career SES members who received a performance award decreased from **52%** in FY2001 to **50%** in FY2002.
- The number of SES performance awards issued decreased from **3070** in FY2001 to **2754** in FY2002.
- The total amount paid for SES performance awards decreased from **\$37.84** million in FY2001 to **\$37.2** million in FY2002.
- The average performance award paid increased from **\$12,324** in FY2001 to **\$12,444** in FY2002.

INSTRUCTIONS FOR COMPLETING FY 2003 REPORT ON SES PERFORMANCE RATINGS AND AWARDS

General Instructions

The SES Performance Ratings and Awards Distribution Report is a two-part report that each department/agency provides to OPM after the end of their annual SES performance appraisal cycle. The department/agency should submit the report to the Center for leadership and Executive Resources Policy (L&ERP) within 30 days after the department/agency head (or designee) makes final award/bonus determinations or, if no awards/bonuses are paid, within 30 days after final performance ratings are assigned. Please note these reports are completed by the department/agency SES contact; we cannot accept reports directly from component organizations.

Executives covered by this report:

- *For performance awards*, SES career appointees and Presidential appointees who are former career appointees and who retained eligibility for performance awards.
- *For performance ratings*, SES career, noncareer, and limited appointees and Presidential appointees who are former career appointees and who retained eligibility for performance awards.

If a department/agency operates more than one SES performance program plan (e.g. different rating cycles, different rating patterns, etc.) it should submit a separate report for each plan. For example, if one component uses a July 1 to June 30 cycle and another uses an October 1 to September 30 cycle, the department/agency should submit a separate report for each separate cycle. Similarly, if some components use a 3-level rating pattern and others use a 5-level rating pattern, the department/agency should submit reports for each separate rating pattern. Use a separate form for each SES performance program plan. Please do not combine the results from different program plans on a single form, except when providing aggregate data (see below).

Departments/agencies should also aggregate (i.e. roll-up) rating and award/bonus information for each SES rating pattern permitted under their department/agency SES performance management system (e.g. 3-level, 4-level and/or 5-level). For instance, if a department/agency operates multiple SES performance program plans using 3-level, 4-level and 5-level rating patterns, it should provide reports on each plan AND provide an aggregate of the 3-level, 4-level and 5-level plans at the department-level.

Once again, this year we are requesting that departments/agencies provide separate information concerning the number of SES ratings and awards issued to their Inspector General (IG) offices. Although, we recognize these subcomponents are generally included within the reports of your other SES performance program plans, we require separate IG information to address questions concerning the distribution of SES ratings and awards across the Federal Government.

Please complete (1) one form for each SES performance program plan; (2) one form to aggregate information for each rating pattern permitted by your department's/agency's SES performance management system (e.g. 3-level, 4-level and/or 5-level); and (3) one form for ratings and awards/bonuses issued to your IG offices.

PART 1 - STATISTICAL SUMMARY

The first part of the report is a statistical summary of SES performance ratings and awards. The report forms for this summary are attached to these instructions. If your department's/agency's award pool is based on a percentage of the aggregate base pay* for career SES appointees, you should use OPM Form 1558. If your department's/agency's award pool is based on 20 percent of the average annual rates of base pay* for career SES appointees, you should use OPM Form 1558A. (Please note that the 20% method will produce a larger pool only if your organization has one career SES member.)

*** This is basic pay only; it does not include locality pay.**

The summary report includes the following information:

- Appraisal period begin and end dates (month, day, and year) and date (month and year) awards are paid.
- Total number of SES career appointees at each pay level **and** the aggregate base pay.**
- Size of the award pool **and** the percentage of aggregate base pay on which it was calculated.**
- Total dollar amount of award payments **and** the percentage of aggregate base pay actually used.**
- Number of awardees at each percentage level of base pay.**
- Total number of awardees.**
- Total number of SES career, noncareer, and limited appointees at the end of the rating period
- Highest possible rating under the SES performance appraisal plan.
- Total number of SES career, noncareer, and limited appointees rated at each performance rating level.

**** Leave blank if no awards are paid.**

PART 2 - SUPPLEMENTARY INFORMATION

The second part of the report is supplementary information for **each executive** who received a less than fully successful performance rating (i.e., minimally satisfactory or unsatisfactory). The Supplementary Information Form is attached to these instructions. The following information is requested.

- Name and social security number of the executive.
- The performance rating the executive received.
- The date of final performance rating.
- Whether there was a pay decrease as a result of the rating.
- Any action taken as a result of the rating and the date of that action--for example, reassignment to another SES position, removal from the SES and placement in a GS-15 position, optional retirement, discontinued service retirement, resignation, etc. If the individual was placed in a position outside the SES, indicate whether this was for:
 - one unsatisfactory rating,
 - two unsatisfactory ratings in 5 years, or
 - two less than fully successful ratings in 3 years.

SES PERFORMANCE RATINGS AND AWARDS DISTRIBUTION FY 2003

(Based on Percentage of Aggregate Career SES Base Pay)

1. Department/Agency		2. Appraisal Period (mm/dd/yy) From To		3. Awards Paid or to be Paid (Month and Year)	
4. Aggregate career SES base pay as of the end of the fiscal year preceding payment, i.e., September 30, 19__.					
PAY RATE	NO. OF CAREER APPOINTEES	BASE PAY	TOTAL BASE PAY		
1					
2					
3					
4					
5					
6					
Presidential Appointee					
AGGREGATE					
5. Award Pool = __ .10 x \$ (aggregate base pay) and \$			6. Total Award Payments = __ % x \$ (aggregate base pay) and \$		
7. NUMBER OF AWARDEES AT EACH PERCENTAGE LEVEL OF BASE PAY					
PERCENTAGE LEVEL			NUMBER OF AWARDEES		
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
TOTAL					
8. TOTAL AWARDEES (from Item 7) = _____ or _____ % total number career appointees as of the end of the appraisal period as shown in Item 2.					
9. TOTAL NUMBER OF SES APPOINTEES AT END OF RATING PERIOD		Career	Noncareer	Limited	
10. NUMBER OF SES PERFORMANCE RATINGS					
RATING LEVEL	Put an "X" at the highest possible rating	NUMBER RATED			
		Career	Noncareer	Limited	
1 (Unsatisfactory)					
2 (Minimally Satisfactory)					
3 (Fully Successful)					
4					
5					
TOTAL					

SES PERFORMANCE RATINGS AND AWARDS DISTRIBUTION FY 2003

(Based on 20% of Average Career SES Base Pay)

1. Department/Agency		2. Appraisal Period (mm/dd/yy) From To		3. Award Paid or to be Paid (Month and Year)	
4. Average career SES base pay as of the end of the fiscal year preceding payment, i.e., September 30, 19 _____					
PAY RATE	NO. OF CAREER APPOINTEES	BASE PAY	TOTAL BASE PAY		
1					
2					
3					
4					
5					
6					
Presidential Appointee					
TOTAL					
5. Award Pool = _____ .20 x \$ _____ (average base pay) and \$ _____			6. Total Award Payments = _____ _____ % x \$ _____ (average base pay) and \$ _____		
7. NUMBER OF AWARDEES AT EACH PERCENTAGE LEVEL OF BASE PAY					
PERCENTAGE LEVEL			NUMBER OF AWARDEES		
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
TOTAL					
8. TOTAL AWARDEES (from Item 7) = _____ or _____ % total number career appointees as of the end of the appraisal period as shown in Item 2.					
9. TOTAL NUMBER OF SES APPOINTEES AT END OF RATING PERIOD		Career	Noncareer	Limited	
10. NUMBER OF SES PERFORMANCE RATINGS					
RATING LEVEL	Put an "X" at the highest possible rating	NUMBER RATED			
		Career	Noncareer	Limited	
1 (Unsatisfactory)					
2 (Minimally Satisfactory)					
3 (Fully Successful)					
4					
5					
TOTAL					

