

# INSTRUCTIONS

## SL/ST Performance Appraisal System Certification and Annual Reporting Data

### 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 SL/ST employee's name or unique identifier is consistent from year to year,
- The actual compensation and awards received by the employee 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](mailto: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 and 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 granted during or following appraisal period reported: Start: End:** — The start and end dates of appraisal period for the ratings reported.

**Summary Rating Pattern (A, B, C, D, E, F, G or H)** — The summary rating pattern(s) used:

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

**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.

## **ANNUAL REPORTING DATA**

**SL/ST Employees** — The last name and first initial, last name and first name, or other unique identifier for each SL/ST employee. 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.)

**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 Fully Successful or equivalent,
- 3-Fully Successful or equivalent,
- 2-Minimally Successful or equivalent,
- 1-Unacceptable or equivalent, or
- X-Not Rated.

### **Compensation** —

- **Rate of Basic Pay Prior to Annual Pay Adjustment:** The employee's rate of pay at the end of the appraisal period being reported.
- **Additional Pay Adjustment (\$):** The dollar amount of an employee's pay adjustment given during the period reported other than the annual adjustment under 5 CFR 534.504.
- **Additional Pay Adjustment (%):** The amount of the additional pay adjustment expressed as a percent.
- **Annual Pay Adjustment (\$):** The dollar amount of an annual adjustment in pay under 5 CFR 534.504.
- **Annual Pay Adjustment (%):** The amount of the annual adjustment referenced above expressed as a percent.
- **Rate of Basic Pay After Annual Pay Adjustment:** The employee's rate of pay after all adjustments based on the rating for the appraisal period being reported. (Rate of Basic Pay After Annual Pay Adjustment equals the Rate of Basic Pay Prior to Annual Pay Adjustment plus any adjustments reported.)

### **Awards** —

- **Performance (\$):** The dollar amount for a performance award given based on the rating for the appraisal period reported.
- **Performance (%):** The percentage of adjusted 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. If multiple cash awards were given, include an explanation and the number and amount of separate awards in the comments column.
- **Cash (%):** The percentage of adjusted base pay of individual or group cash awards given during the period reported. 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 percentage of base pay of the Presidential Rank award granted based on the appraisal period reported (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 an SL/ST employee 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 SL/ST employee under a certified system earned \$250,000 in various covered payments during the year plus had received \$25,000 at the beginning of the year that could not be paid the year before, the amount reported would be \$59,300 ( $250,000 + 25,000 = 275,000 - 215,700 = 59,300$ ).

**Explanatory Comments** — Explain special circumstances affecting the SL/ST employee's ratings, pay or awards. Also explain additional pay adjustments. Include the reason and note legal citation. Any time the compensation column (annual pay adjustment) 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.