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 are the data reported, and
- All comments are included in the Explanatory Comments column (Column Q) and not in the data fields.

Please contact Justin Sams at justin.sams@opm.gov if you have any questions about the template or instructions.

The descriptions below explain the information to be entered within each field of the template.

GENERAL INFORMATION

Date — Enter the date this report is submitted to OPM.

Agency or Component(s) — Enter the name of the agency or component(s) covered by the appraisal period being reported.

Point of Contact Name, Phone Number, and Email — Enter the name of the agency point of contact, phone number, and email address to clarify any questions about the agency’s data.

These data represent compensation and awards granted during or following appraisal period reported: Start: End: — Enter the start and end dates of the appraisal period for the ratings reported.

Summary Rating Pattern (A, B, C, D, E, F, G or H) — Enter the summary rating pattern 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 — Enter the total number of SL and/or ST employees.

Total Employees Eligible to be Rated — Enter the total number of SL and/or ST employees eligible to be rated.

Total Employees Not Rated — Enter the total number of SL and/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).
REPORTING DATA

Column A — SL/ST Employees
Enter the name and/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.).

Column B — Rating
Enter the SL/ST employee’s summary rating for the appraisal period reported. The summary rating will be one of the following (do not leave blank):
- 5 - Outstanding or equivalent
- 4 - Exceeds Fully Successful or equivalent
- 3 - Fully Successful or equivalent
- 2 - Minimally Successful or equivalent
- 1 - Unacceptable or equivalent
- X - Not Rated (When an SL/ST employee is not rated, include the reason in the Explanatory Comments column (Column Q))

Compensation —

- **Column C – Off-Cycle Pay Increases (if granted) ($)**: Enter the dollar amount of the SL/ST employee’s pay adjustment (if granted) given during the period reported other than the annual adjustment under 5 CFR 534, subpart E. An explanation of the basis for the adjustment must be included in the Explanatory Comments column (Column Q).
  - Such pay increases may be based on 1) exceptionally meritorious accomplishments that contribute significantly to the agency’s performance, 2) reassignment to a position that has a substantially greater impact on agency performance, or 3) the need to retain an SL/ST employee whose contributions are critical to the agency and who is otherwise likely to leave the agency.
- **Column D – Off-Cycle Pay Increases (if granted) (%)**: Enter the amount of the pay adjustment reported in Column C expressed as a percent. To calculate the percentage of the additional pay adjustment, divide the dollar amount of the adjustment (reported in Column C) by the rate of basic pay prior to the adjustment.
- **Column E – Rate of Basic Pay Prior to Annual Pay Adjustments ($)**: Enter the SL/ST employee’s rate of pay at the end of the appraisal period being reported. Unless additional pay adjustments occurred during the rating period, this amount should match the previous year amount for rate of basic pay after annual pay adjustments.
- **Column F – Annual Pay Adjustment ($)**: Enter the dollar amount of an annual adjustment in pay under 5 CFR 534, subpart E.
  - The agency head must adjust pay at the beginning of the first applicable pay period commencing on or after the first day of the month in which an annual adjustment takes effect to the General Schedule (GS) under 5 U.S.C. 5303, by such amount as the agency head considers appropriate.
  - Pay adjustments must reflect differentiation based on meaningful distinctions in performance among SL/ST employees as indicated by their ratings (must have a current rating of record of at least Fully Successful or equivalent).
  - An SL/ST employee whose rate of basic pay would otherwise fall below the minimum rate range must receive a pay increase that keeps the rate of basic pay at the minimum rate.
  - Use negative numbers when pay was reduced.
  - Put a zero when no pay adjustment was given. A decision by the agency head to provide a zero pay adjustment in pay meets the requirement for an annual pay adjustment if the agency communicates the reason for that decision in writing to the SL/ST employee, as required by 5 CFR 534.507(h) when 1) the SL/ST employee is not compensated within the top 10% of the applicable rate range,
the General Schedule rates are increased, and the employee is rated Fully Successful (or equivalent) or above, or 2) the SL/ST employee is compensated within the top 10% of the applicable rate range, the Executive Schedule rates are increased, and the employee received the highest performance rating used under an appraisal system that used 4 or 5 rating levels.

- **Column G – Annual Pay Adjustment (%):** Enter the amount of the annual adjustment reported in Column F expressed as a percent. To calculate the percentage of the annual pay adjustment, divide the dollar amount of the adjustment (reported in Column F) by the rate of basic pay prior to annual pay adjustments (Column E).
- **Column H – Rate of Basic Pay After Annual Pay Adjustments ($):** Enter the SL/ST 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 Adjustments should equal the Rate of Basic Pay Prior to Annual Pay Adjustments plus any adjustments (Column E + Column F = Column H)).

**Awards —**
- **Column I – Performance ($):** Enter the dollar amount for a performance award given based on the rating for the appraisal period reported.
- **Column J – Performance (%):** Enter the amount of the performance award given based on the rating for the appraisal period reported in Column I, expressed as a percent. To calculate the percentage of the performance award, divide the dollar amount of the award (reported in Column I) by the rate of basic pay prior to annual pay adjustments (Column E).
- **Column K – Cash ($):** Enter 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 Explanatory Comments column (Column Q).
- **Column L – Cash (%):** Enter the total amount of individual or group cash awards given during the period reported in Column K, expressed as a percent. To calculate the percentage of the cash award, divide the dollar amount of the cash award (reported in Column K) by the rate of basic pay prior to annual pay adjustments (Column E).
- **Column M – Presidential Rank ($):** Enter the dollar amount of a Presidential Rank award granted during the period reported. Report the full amount of the Rank award.
  - When the full amount of the Rank award cannot be paid due to the aggregate limitation on compensation, the excess amount is withheld from the award and paid at the beginning of the following calendar year, unless such payment would cause the employee’s aggregate compensation to exceed the limit for that new calendar year.
- **Column N – Presidential Rank (%):** Enter the amount of the Presidential Rank award granted during the period reported in Column M, expressed as a percent (i.e., 20% or 35%). Indicate whether the Rank award is “Meritorious” or “Distinguished” in the Explanatory Comments column (Column Q).

**Column O — 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 delivered 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).
**Column P — Blank Pay Adjustments/Awards**

Indicate if the SL/ST employee retired, left the agency, or is otherwise ineligible to receive a pay adjustment and/or performance award using only one of the following indicators:

- R – Retired
- L – Left Agency
- I – Ineligible (Do not use “I” for new SL/ST employees or employees who were not rated.
- Note: If the employee retired or left the agency during the period reported, include the effective date in the Explanatory Comments column (Column Q))

**Column Q — Explanatory Comments**

Explain special circumstances affecting the SL/ST employee’s ratings, pay or awards. Also explain off-cycle pay increases. 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.