

# **Report on Senior Executive Pay and Performance Appraisal Systems**

Fiscal Year 2014



## Executive Summary

The Senior Executive Service (SES) is comprised of the men and women charged with leading the continuing transformation of our Federal Government. This dedicated corps of executives shares a commitment to public service and a set of democratic values grounded in the fundamental ideals of the Constitution. As the leaders of our Federal civilian workforce, Senior Executives strive each day to create a more citizen-centered, result-oriented Federal Government. To recognize the achievements of their executives, agencies are authorized to recognize and reward SES members using their performance-oriented pay systems.

This report reflects ratings, pay, and awards data resulting from the application of each agency's SES appraisal system during Fiscal Year (FY) 2014. The tables in this report do not include agency and Governmentwide data on pay, performance or awards received by Federal employees, including Senior Level/Scientific or Professional (SL/ST) employees, outside of the SES. Information on performance awards for Federal employees (exclusive of SES) is presented in a different report, also issued annually by the U.S. Office of Personnel Management (OPM), entitled *Federal Awards Statistics*.

This report indicates that even in a tight budgetary environment, Federal agencies make meaningful distinctions in SES performance and pay. The following include a number of findings relating to FY 2014 executive ratings and pay:

- Agencies submitted rating and pay data for 7,534 SES members (including Office of Inspector General (OIG) SES). Agencies rated 90.7 percent of SES members, with 48.5 percent rated at the highest level. (Some executives were not rated because they either retired or were hired at the end of the appraisal period and had not worked long enough to be rated.)
- Data for OIG SES members are included in "ALL OTHERS" and "GOVERNMENTWIDE" categories in Tables 1 through 5, and Table 7, of this report. The Inspector General Reform Act of 2008 established OIGs as separate agencies for all SES issues.
- Career members comprised 89.5 percent of the total SES population. Agencies rated 92.9 percent of their career SES members, with 47.9 percent receiving the highest rating level.
- Table 1 is a summary of the number and percentage of career SES members who received a performance rating at the highest available performance level for their FY 2014 performance. This reflects an increase in the percent of career SES members rated at the highest level of two and six tenths percentage points (2.6) from the previous year.
- Table 2 displays performance rating data for all SES members. The data reflect an increase of two and seven tenths percentage points (2.7) of all SES members rated at the highest level from the previous year.

- Table 3 summarizes career SES member FY 2014 compensation distribution by performance rating level. The data indicate that, on average, higher-performing SES members receive higher payments based on performance. Such pay includes all payments based on a summary performance rating, which includes pay adjustments and performance awards.
- Table 4 shows the average salary and average salary adjustment for all SES members. The data indicate that, Governmentwide, the average salary adjustment for all SES members increased by only one tenth of a percent (0.1) from the previous year.
- Table 5 summarizes the percentage of career executives who received performance awards, as well as the average award amount granted. Governmentwide, the average performance award increased by three hundred and forty-seven dollars (\$347) from 2013, and the number of members receiving a performance award increased by twelve and two tenths percentage points (12.2).
- Table 6 lists the Pearson correlation coefficient metric by agency. OPM uses the metric as an indicator of the strength of the relationship between an agency's executive performance compensation (that is, pay adjustments and performance awards) and its executive performance ratings. The Table 6 notation provides a more in-depth description of the metric and its meaning. Table 6 further shows that most agencies have a strong, positive correlation between executive ratings and performance compensation.
- Table 7 shows that agencies are rewarding SES members who meet or exceed their performance expectations, at or below the awards limitation (4.8 percent of aggregate career SES salaries).

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TABLE 1					
Career SES Performance Ratings FY 2013- FY 2014					
AGENCY	FY 2013		FY 2014		Net Change in Percentage Points FY 2013-FY 2014
	Total Career SES Rated	Percent at Highest Level	Total Career SES Rated	Percent at Highest Level	
AGRICULTURE	283	45.9%	280	46.1%	0.2%
AID	22	77.3%	22	54.6%	-22.7%
COMMERCE	245	52.7%	249	47.4%	-5.3%
DEFENSE	1,132	30.6%	1,076	37.6%	7.0%
EDUCATION	57	45.6%	57	56.1%	10.5%
ENERGY	377	33.7%	363	46.0%	12.3%
EPA	247	38.1%	239	40.2%	2.1%
GSA	63	25.4%	61	21.3%	-4.1%
HHS	359	39.6%	326	44.8%	5.2%
DHS	512	55.3%	503	57.7%	2.4%
HUD	79	32.9%	74	35.1%	2.2%
INTERIOR	209	47.4%	194	56.7%	9.3%
JUSTICE*	363	78.5%	356	81.2%	2.7%
LABOR	134	44.8%	137	48.9%	4.1%
NASA	384	35.9%	370	41.4%	5.5%
NRC	139	33.8%	130	28.5%	-5.3%
NSF	69	55.1%	63	63.5%	8.4%
OMB	56	23.2%	60	33.3%	10.1%
OPM	44	45.5%	44	81.8%	36.3%
SBA	38	57.9%	32	53.1%	-4.8%
SSA	138	71.0%	129	38.0%	-33.0%
STATE	146	95.2%	144	92.4%	-2.8%
TRANSPORTATION	167	48.5%	172	46.5%	-2.0%
TREASURY	394	43.9%	390	46.2%	2.3%
VA	334	21.6%	264	19.3%	-2.3%
ALL OTHERS	610	60.2%	532	57.7%	-2.5%
GOVERNMENTWIDE	6,601	45.3%	6,267	47.9%	2.6%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

<b>TABLE 2</b> <b>Ratings for Career, Non-Career and Limited Term SES Members</b> <b>FY 2013-FY 2014</b>					
AGENCY	FY 2013		FY 2014		Net Change in Percentage Points FY 2013-FY 2014
	Total SES Rated	Percent at Highest Level	Total SES Rated	Percent at Highest Level	
AGRICULTURE	321	47.4%	316	48.4%	1.0%
AID	25	76.0%	26	57.7%	-18.3%
COMMERCE	274	52.2%	281	45.2%	-7.0%
DEFENSE	1,202	30.2%	1,148	36.9%	6.7%
EDUCATION	69	47.8%	72	58.3%	10.5%
ENERGY	402	34.6%	400	46.8%	12.2%
EPA	273	34.4%	265	36.2%	1.8%
GSA	74	23.0%	65	20.0%	-3.0%
HHS	418	40.2%	366	43.4%	3.2%
DHS	565	56.5%	544	59.0%	2.5%
HUD	87	33.3%	74	35.1%	1.8%
INTERIOR	233	50.2%	222	59.9%	9.7%
JUSTICE*	404	80.5%	397	83.1%	2.6%
LABOR	141	46.8%	161	54.0%	7.2%
NASA	393	36.1%	384	41.7%	5.6%
NRC	140	34.3%	130	28.5%	-5.8%
NSF	77	54.6%	70	61.4%	6.8%
OMB	67	23.9%	75	30.7%	6.8%
OPM	56	51.8%	55	80.0%	28.2%
SBA	44	52.3%	43	55.8%	3.5%
SSA	143	70.6%	136	39.7%	-30.9%
STATE	176	84.7%	173	81.5%	-3.2%
TRANSPORTATION	177	50.3%	186	48.4%	-1.9%
TREASURY	414	45.7%	420	49.5%	3.8%
VA	341	21.4%	272	19.1%	-2.3%
ALL OTHERS	639	61.8%	555	59.1%	-2.7%
GOVERNMENTWIDE	7,155	45.8%	6,836	48.5%	2.7%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

**TABLE 3**  
**Career SES Compensation Distribution by Rating Level**  
**FY 2013 - FY 2014**

AGENCY RATING LEVEL	Total Career SES Rated	Percent Rated by Level	Average Salary Before Adjustment	Average Performance Award	Average Salary Adjustment	Average Performance Award as a Percent of Salary Before Adjustment	Average Salary Adjustment as a Percent of Salary Before Adjustment	Average Salary Adjustment + Average Performance Award as a Percent of Salary Before Adjustment
<b>FY 2014*</b>								
<b>Rating Levels</b>	<b>6,267</b>							
Outstanding or Equivalent (5)	3,003	47.9%	\$171,573	\$11,765	\$3,756	6.9%	2.2%	9.0%
Exceeds Expectations (4)	2,621	41.8%	\$167,326	\$8,853	\$2,976	5.3%	1.8%	7.1%
Fully Successful (3)	622	9.9%	\$165,878	\$8,471	\$1,659	5.1%	1.0%	6.1%
Minimally Successful (2)	15	0.2%	\$173,227	\$0	\$0	0.0%	0.0%	0.0%
Unacceptable (1)	6	0.1%	\$166,698	\$0	\$0	0.0%	0.0%	0.0%
<b>FY 2013*</b>								
<b>Rating Levels</b>	<b>6,601</b>							
Outstanding or Equivalent (5)	2,988	45.3%	\$168,547	\$11,137	\$3,606	6.6%	2.1%	8.7%
Exceeds Expectations (4)	2,899	43.9%	\$165,231	\$8,754	\$3,014	5.3%	1.8%	7.1%
Fully Successful (3)	685	10.4%	\$162,945	\$8,208	\$1,618	5.0%	1.0%	6.0%
Minimally Successful (2)	19	0.3%	\$165,628	\$0	\$0	0.0%	0.0%	0.0%
Unacceptable (1)	10	0.2%	\$165,777	\$0	\$0	0.0%	0.0%	0.0%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)



**TABLE 4**  
**Salaries for Career, Non-Career and Limited-Term SES Members**  
**FY 2013 - FY 2014**

AGENCY	FY 2013			FY 2014			Percentage Point Change FY 2013-FY2014
	Average Rate of Basic Pay Before Salary Adjustment	Average Salary Adjustment	Average Salary Adjustment as Percent of Basic Pay Before Adjustment	Average Rate of Basic Pay Before Salary Adjustment	Average Salary Adjustment	Average Salary Adjustment as Percent of Basic Pay Before Adjustment	
AGRICULTURE	\$165,285	\$2,324	1.4%	\$168,219	\$3,282	2.0%	0.6%
AID	\$164,458	\$1,972	1.2%	\$167,310	\$1,765	1.1%	-0.1%
COMMERCE	\$164,822	\$3,849	2.3%	\$168,512	\$3,374	2.0%	-0.3%
DEFENSE	\$165,190	\$2,391	1.4%	\$167,536	\$1,573	0.9%	-0.5%
EDUCATION	\$167,788	\$2,988	1.8%	\$170,036	\$2,228	1.3%	-0.5%
ENERGY	\$168,174	\$3,032	1.8%	\$170,746	\$3,226	1.9%	0.1%
EPA	\$167,000	\$2,100	1.3%	\$168,772	\$2,218	1.3%	0.0%
GSA	\$163,456	\$1,369	0.8%	\$164,273	\$1,263	0.8%	0.0%
HHS	\$167,726	\$3,318	2.0%	\$171,010	\$2,921	1.7%	-0.3%
DHS	\$165,290	\$1,838	1.1%	\$166,472	\$3,525	2.1%	1.0%
HUD	\$170,807	\$4,141	2.4%	\$173,872	\$2,520	1.4%	-1.0%
INTERIOR	\$160,863	\$1,685	1.0%	\$163,111	\$4,464	2.7%	1.7%
JUSTICE*	\$169,007	\$3,357	2.0%	\$171,961	\$3,404	2.0%	0.0%
LABOR	\$164,480	\$5,492	3.3%	\$168,602	\$4,100	2.4%	-0.9%
NASA	\$165,721	\$3,190	1.9%	\$169,057	\$2,669	1.6%	-0.3%
NRC	\$165,678	\$3,047	1.8%	\$168,510	\$2,005	1.2%	-0.6%
NSF	\$171,713	\$2,773	1.6%	\$174,570	\$1,983	1.1%	-0.5%
OMB	\$166,030	\$1,504	0.9%	\$167,025	\$1,666	1.0%	0.1%
OPM	\$166,727	\$1,714	1.0%	\$167,543	\$3,505	2.1%	1.1%
SBA	\$166,620	\$2,034	1.2%	\$167,333	\$2,056	1.2%	0.0%
SSA	\$165,671	\$3,569	2.2%	\$169,211	\$3,216	1.9%	-0.3%
STATE	\$166,326	\$1,647	1.0%	\$167,807	\$1,587	0.9%	-0.1%
TRANSPORTATION	\$160,259	\$2,579	1.6%	\$162,589	\$3,584	2.2%	0.6%
TREASURY	\$163,603	\$4,696	2.9%	\$167,443	\$4,952	3.0%	0.1%
VA	\$163,652	\$1,477	0.9%	\$165,321	\$1,393	0.8%	-0.1%
ALL OTHERS	\$168,254	\$2,358	1.4%	\$170,371	\$2,488	1.5%	0.1%
GOVERNMENT WIDE	\$165,876	\$2,734	1.6%	\$168,344	\$2,780	1.7%	0.1%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

Source: Agency electronic data submission forms

**TABLE 5**  
**Career SES Performance Awards**  
**FY 2013 - FY 2014**

AGENCY	FY 2013		FY 2014		Change in Average Award Amount FY 2013- FY2014	Percentage Point Change of Career SES Receiving Awards FY 2013- FY 2014
	Average Award	Percent of SES Receiving Awards	Average Award	Percent of SES Receiving Awards		
AGRICULTURE	\$9,122	81.6%	\$10,109	71.6%	\$987	-10.0%
AID	\$14,545	47.8%	\$10,355	65.4%	-\$4,190	17.6%
COMMERCE	\$11,243	72.2%	\$12,177	67.2%	\$934	-5.0%
DEFENSE	\$9,307	17.2%	\$10,511	76.2%	\$1,204	59.0%
EDUCATION	\$11,765	67.8%	\$12,800	64.4%	\$1,035	-3.4%
ENERGY	\$10,021	73.2%	\$9,908	77.9%	-\$113	4.7%
EPA	\$11,661	64.4%	\$11,403	66.5%	-\$258	2.1%
GSA	\$8,176	20.5%	\$8,509	58.8%	\$333	38.3%
HHS	\$9,942	83.7%	\$10,521	76.3%	\$579	-7.4%
DHS	\$9,344	82.7%	\$9,524	82.0%	\$180	-0.7%
HUD	\$10,320	58.8%	\$10,599	69.1%	\$279	10.3%
INTERIOR	\$9,609	79.7%	\$9,631	68.0%	\$22	-11.7%
JUSTICE*	\$13,453	57.8%	\$14,600	57.9%	\$1,147	0.1%
LABOR	\$10,782	73.2%	\$10,853	70.6%	\$71	-2.6%
NASA	\$8,492	4.9%	\$9,953	57.9%	\$1,461	53.0%
NRC	\$9,516	80.4%	\$9,013	80.6%	-\$503	0.2%
NSF	\$12,159	14.1%	\$15,333	44.9%	\$3,174	30.8%
OMB	\$8,571	5.0%	\$10,625	50.0%	\$2,054	45.0%
OPM	\$9,130	75.9%	\$11,203	71.0%	\$2,073	-4.9%
SBA	\$9,008	81.4%	\$13,894	44.7%	\$4,886	-36.7%
SSA	\$11,258	57.2%	\$10,875	69.3%	-\$383	12.1%
STATE	\$8,480	53.2%	\$8,434	47.4%	-\$46	-5.8%
TRANSPORTATION	\$9,166	81.8%	\$9,063	87.0%	-\$103	5.2%
TREASURY	\$12,498	58.3%	\$12,109	61.5%	-\$389	3.2%
VA	\$9,171	64.2%	\$9,450	36.0%	\$279	-28.2%
ALL OTHERS	\$9,960	65.8%	\$10,068	70.9%	\$108	5.1%
GOVERNMENTWIDE	\$10,213	55.9%	\$10,560	68.1%	\$347	12.2%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

<b>TABLE 6</b> <b>Correlation of SES Ratings</b> <b>and Compensation Based on Ratings</b> <b>FY 2013 - FY 2014</b>		
<b>AGENCY</b>	<b>FY 2013</b>	<b>FY 2014</b>
<b>Agriculture</b>	<b>0.719</b>	<b>0.820</b>
<b>AID</b>	<b>0.502</b>	<b>0.760</b>
<b>Commerce</b>	<b>0.753</b>	<b>0.809</b>
<b>Defense</b>	<b>0.642</b>	<b>0.651</b>
<b>Education</b>	<b>0.957</b>	<b>0.850</b>
<b>Energy</b>	<b>0.684</b>	<b>0.718</b>
<b>EPA</b>	<b>0.758</b>	<b>0.744</b>
<b>GSA</b>	<b>0.778</b>	<b>0.737</b>
<b>HHS</b>	<b>0.609</b>	<b>0.668</b>
<b>DHS</b>	<b>0.664</b>	<b>0.556</b>
<b>HUD</b>	<b>0.706</b>	<b>0.642</b>
<b>Interior</b>	<b>0.788</b>	<b>0.795</b>
<b>Justice*</b>	<b>0.446</b>	<b>0.469</b>
<b>Labor</b>	<b>0.516</b>	<b>0.556</b>
<b>NASA</b>	<b>0.208</b>	<b>0.537</b>
<b>NRC</b>	<b>0.987</b>	<b>0.620</b>
<b>NSF</b>	<b>0.358</b>	<b>0.674</b>
<b>OMB</b>	<b>0.421</b>	<b>0.642</b>
<b>OPM</b>	<b>0.784</b>	<b>0.754</b>
<b>SBA</b>	<b>0.749</b>	<b>0.988</b>
<b>SSA</b>	<b>0.560</b>	<b>0.535</b>
<b>State</b>	<b>0.247</b>	<b>0.288</b>
<b>Transportation</b>	<b>0.413</b>	<b>0.656</b>
<b>Treasury</b>	<b>0.660</b>	<b>0.635</b>
<b>VA</b>	<b>0.668</b>	<b>0.831</b>

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

The **Pearson correlation coefficient (r)** is a measure of strength of relationship.

OPM uses the Pearson r metric to analyze the strength of the relationship between executives' pay adjustments and performance awards and their ratings.

- A high positive relationship between ratings and pay based on those ratings will approach (+1). This positive relationship indicates the executives' summary ratings are the primary bases for determining their pay adjustments and performance awards, with high ratings resulting in higher total pay.
- If the relationship is random, the Pearson r will approach zero, indicating there is no relationship between executive ratings and pay adjustments and performance awards.
- If the coefficient is negative, it indicates an inverse relationship (that is, if the high ratings lead to low pay adjustments and performance awards, the metric will approach negative one (-1)).

In calculating the correlation, OPM used the data submitted by agencies during the annual data call. OPM included only the data for career executives and did not include awards that were not based on a final summary rating (such as Rank awards or Special Act awards). OPM selected (.5) as the desirable threshold for the correlation coefficient because statistically this represents a strong association between pay adjustments and performance awards with executive ratings. OPM recognizes there are other legitimate influences on pay determinations and therefore it is unrealistic to expect agencies to achieve a perfect positive correlation (+1).

TABLE 7

**Performance Awards for Career SES Members as a Percent of Aggregate Compensation  
FY 2013 - FY 2014**

AGENCY	FY 2013				FY 2014				Percentage Point Change in Performance Award as a Percent of Aggregate FY13-FY14
	Total Career Members	Percent Receiving Performance Award	Performance Award Average	Performance Award as a Percent of Aggregate	Total Career Members	Percent Receiving Performance Award	Performance Award Average	Performance Award as a Percent of Aggregate	
AGRICULTURE	331	81.6%	\$9,122	4.2%	328	71.6%	\$10,109	4.0%	-0.2%
AID	23	47.8%	\$14,545	4.0%	26	65.4%	\$10,355	4.0%	0.0%
COMMERCE	255	72.2%	\$11,243	4.5%	256	67.2%	\$12,177	4.5%	0.0%
DEFENSE	1,160	17.2%	\$9,307	1.0%	1,101	76.2%	\$10,511	4.5%	3.5%
EDUCATION	59	67.8%	\$11,765	4.4%	59	64.4%	\$12,800	4.5%	0.1%
ENERGY	399	73.2%	\$10,021	4.1%	375	77.9%	\$9,908	4.2%	0.1%
EPA	247	64.4%	\$11,661	4.2%	239	66.5%	\$11,403	4.2%	0.0%
GSA	73	20.5%	\$8,176	1.0%	80	58.8%	\$8,509	2.9%	1.9%
HHS	362	83.7%	\$9,942	4.6%	333	76.3%	\$10,521	4.4%	-0.2%
DHS	527	82.7%	\$9,344	4.4%	511	82.0%	\$9,524	4.4%	0.0%
HUD	80	58.8%	\$10,320	3.3%	81	69.1%	\$10,599	3.9%	0.6%
INTERIOR	217	79.7%	\$9,609	4.5%	200	68.0%	\$9,631	3.7%	-0.8%
JUSTICE*	386	57.8%	\$13,453	4.3%	378	57.9%	\$14,600	4.6%	0.3%
LABOR	138	73.2%	\$10,782	4.4%	143	70.6%	\$10,853	4.2%	-0.2%
NASA	431	4.9%	\$8,492	0.2%	420	57.9%	\$9,953	3.2%	3.0%
NRC	143	80.4%	\$9,516	4.3%	144	80.6%	\$9,013	4.1%	-0.2%
NSF	78	14.1%	\$12,159	1.0%	78	44.9%	\$153,333	3.7%	2.7%
OMB	60	5.0%	\$8,571	0.3%	64	50.0%	\$10,625	3.0%	2.7%
OPM	54	75.9%	\$9,130	3.9%	45	71.0%	\$11,203	4.4%	0.5%
SBA	43	81.4%	\$9,008	4.1%	47	44.7%	\$13,894	3.5%	-0.6%
SSA	152	57.2%	\$11,258	3.7%	140	69.3%	\$10,875	4.2%	0.5%
STATE	154	53.2%	\$8,480	2.6%	156	47.4%	\$8,434	2.3%	-0.3%
TRANSPORTATION	176	81.8%	\$9,166	4.3%	184	87.0%	\$9,063	4.5%	0.2%
TREASURY	412	58.3%	\$12,498	4.1%	400	61.5%	\$12,109	4.1%	0.0%
VA	346	64.2%	\$9,171	3.4%	350	36.0%	\$9,450	2.0%	-1.4%
ALL OTHERS	695	65.8%	\$9,960	3.7%	608	70.9%	\$10,068	3.9%	0.2%
GOVERNMENTWIDE	7,001	55.9%	\$10,213	3.3%	6,746	68.1%	\$10,560	4.0%	0.7%

\*Data for Justice does not include FBI-DEA SES members, which are excluded from the SES under 5 U.S.C. 3132(a)(1)

## Appendix

### Guide to Agency Acronyms and Titles Used in this Report

AGENCY	Name of Agency
Agriculture	Department of Agriculture
AID	U.S. Agency for International Development
Commerce	Department of Commerce
DEA	Drug Enforcement Administration
Defense	Department of Defense
Education	Department of Education
Energy	Department of Energy
EPA	Environmental Protection Agency
FBI	Federal Bureau of Investigation
GSA	General Services Administration
HHS	Department of Health and Human Services
DHS	Department of Homeland Security
HUD	Department of Housing and Urban Development
Interior	Department of the Interior
Justice	Department of Justice
Labor	Department of Labor
NASA	National Aeronautics and Space Administration
NRC	Nuclear Regulatory Commission
NSF	National Science Foundation
OMB	Office of Management and Budget
OPM	Office of Personnel Management
SBA	Small Business Administration
SSA	Social Security Administration
State	Department of State
Transportation	Department of Transportation
Treasury	Department of the Treasury
VA	Department of Veterans Affairs



**U.S. Office of Personnel Management**

Employee Services

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