

SENIOR LEVEL AND SCIENTIFIC AND PROFESSIONAL PAY PLAN

I. Purpose

This Directive establishes the Department of Homeland Security (DHS) Senior Level (SL) and Scientific and Professional (ST) Pay Plan.

II. Scope

This Directive applies to all SL/ST employees (senior professionals) throughout DHS, unless exempted by statutory or federal regulatory authority.

III. Authorities

- A. Title 5, United States Code, § 5318, "Adjustments in Rates of Pay"
- B. Title 5, Code of Federal Regulations (CFR), Part 534, Subpart E, "Pay for Senior Level and Scientific and Professional Positions"
- C. DHS Delegation 00100.2, "Delegation to the Deputy Secretary"
- D. DHS Delegation 00002, "Delegation to the Under Secretary for Management"
- E. DHS Delegation 03000, "Delegation for Human Capital and Human Resources"

IV. Responsibilities

- A. **Deputy Secretary:**
 - 1. Oversees the DHS SL/ST Pay Plan;
 - 2. Establishes policy for the DHS SL/ST Pay Plan;

3. Certifies that performance-based pay adjustments, performance awards, and pay levels for all senior professionals accurately reflect and recognize individual performance and contributions to organizational performance;
4. Establishes the Performance Review Board to advise authorized officials concerning performance-based pay adjustments and performance awards; and
5. Approves the following pay actions:
 - a. A pay setting action (i.e., initial appointment or transfer) resulting in a rate of basic pay within the top 10 percent of the applicable pay range;
 - b. A pay setting action resulting in a rate of basic pay more than 10 percent higher than the employee's most recent rate of basic pay (including locality, if applicable);
 - c. A pay increase upon reappointment of a senior professional who is reappointed within 30 days to the same position or a successor position in the agency; and
 - d. An off-cycle pay increase under Title 5, CFR, § 534.510.

B. **Under Secretary for Management**, through the DHS Chief Human Capital Officer, is responsible for all aspects of this Directive except for the responsibilities outlined for the Deputy Secretary.

C. **DHS Chief Human Capital Officer:**

1. Develops and oversees the implementation of the DHS SL/ST Pay Plan policy to ensure it is consistent with Title 5, CFR, transparent, and applied in an equitable, nondiscriminatory, and non-political manner;
2. Issues guidelines for implementation of the DHS SL/ST Pay Plan; and
3. Ensures that the Department's SL/ST performance appraisal system remains certified by the Office of Personnel Management (OPM) for making maximum compensation benefits available to senior professionals.

D. **Component Heads:**

1. Implement the established DHS SL/ST Pay Plan consistent with DHS policy and guidance;
2. Ensure that performance-based pay adjustments and performance awards accurately reflect and recognize individual performance and contributions to organizational performance and demonstrate appropriate pay differentiation based on performance ratings; and
3. Approve the following pay actions:
 - a. A pay setting action resulting in a rate of basic pay below the top 10 percent of the applicable pay range; and
 - b. A pay setting action resulting in a rate of basic pay up to 10 percent higher than the employee's most recent rate of basic pay.

E. **Executive Director, Headquarters (HQ) Human Resources Management and Services (HRMS)** assumes the responsibilities in section IV.D for all Support Components with the exception of the Federal Law Enforcement Training Centers (FLETC), the Office of the General Counsel (OGC), and the Office of Inspector General (OIG).

F. **Heads FLETC and OIG** assume the responsibilities listed under section IV.D for their respective Component.

G. **General Counsel, OGC**, with assistance from HRMS, assumes the responsibility in section IV.D for OGC and the legal offices of Transportation Security Administration, U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, U.S. Immigration and Customs Enforcement, Federal Emergency Management Agency, and FLETC.

V. Policy and Requirements

A. DHS sets SL/ST basic pay, increases or decreases pay, and grants performance awards consistent with this policy, [DHS Directive 255-07](#), and regulations issued by OPM.

B. Professional qualifications and performance determine initial basic pay and all subsequent increases. Considerations in setting and adjusting basic pay include:

1. Organizational performance and accomplishment of specific goals and targets;

2. Ensuring that pay adjustments and performance awards are transparent and applied in a consistent, equal, nondiscriminatory, and non-political manner;
3. Expertise that the senior professional brings to the position;
4. Criticality of the position and the available pool of potential senior professionals to fill the position; and
5. Senior professionals who demonstrate the highest level of performance, make the greatest contributions DHS-wide or to organizational performance, or who exemplify superior leadership and achieve superior results generally receive the highest rates of basic pay or pay adjustments.

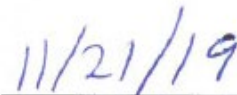
VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Human Capital Officer.



R.D. Alles

Acting Under Secretary for Management



Date