



JAN 17 2014

MEMORANDUM FOR: NOAA Chief of Staff  
Assistant Administrators  
Deputy Assistant Administrators  
Chief, Resource and Operations Management  
Staff Office Directors

FROM: Christine M. Carpino *Christine M. Carpino*  
Acting Director for Workforce Management

SUBJECT: FY 2014 Executive Performance Plans

This memorandum is a reminder that all NOAA Senior Executives must have their FY 2014 performance plans documented and finalized. The FY 2014 performance plans must be signed and in place using the new Executive Performance Agreement format no later than Friday, January 31, 2014. In order for DOC to maintain full certification for SES and full certification for ST/SL, all NOAA Executives must ensure that their FY 2014 performance plans are results-oriented, contain measurable outcomes, and are linked to organizational goals (e.g., S.M.A.R.T performance goals — specific, measureable, achievable, relevant and time-based).

**Guide to Completing the SES Executive Performance Agreement**

The executive performance agreement form is new for DOC in FY 2014 and is based on the five Executive Core Qualifications (ECQs). The five ECQs (Critical Elements) are: Leading Change, Leading People, Business Acumen, Building Coalitions, and Results Driven. The required critical elements and their associated weights have changed from the FY 2013 plan. Executives must select from a list of Agency-Specific Performance Requirements for each critical element; Line and Staff Offices may add additional specific performance requirements for each critical element. *NOTE: This year the weights for each critical element will be the same for all executives.*

Critical Element	Weight
1. Leading Change	10%
2. Leading People	15%
3. Business Acumen	15% <i>25% for executives with a DOC-directed element; requirements language will be provided by the appropriate DOC or NOAA official.</i>
4. Building Coalitions	10%
5. Results Driven	50% <i>40% for executives with DOC requirements under Business Acumen.</i>

The performance agreement must have performance results (including measures, targets, timelines, or quality descriptions, as appropriate) describing the range of performance at the fully successful level (Level 3) for each result specified.

The following provides the agency-specific performance requirements for each critical element:

- **Critical Element 1 — Leading Change**

Objective: Leading Change

Executives must select at least one of the following:

1. Utilization of applicable/available workforce reshaping flexibilities results in substantive progress made toward optimization of resources, both short (current FY) and long-term (FY15).
2. No less than 85% of mission-critical occupations are covered by an established organizational succession plan by Q4 (milestone).
3. Enhance labor/management relations within the executive's span of control.

- **Critical Element 2 — Leading People**

Objective: Workforce Excellence and Performance Management Accountability

Executives must select three from the following:

1. A workforce excellence baseline is established via survey administered no later than Q3 of FY 2014.  
-or-  
Increase of x% improvement over FY 2013 baseline (if prior survey instrument used).
2. Diversity is enhanced as evidenced by an x% to y% increase in special emphasis (ex. veterans, disabled, and minority) programs/initiatives within the executive's span of control.
3. 75–85% of the 80-day hiring model deadlines within the executive's span of control are met.
4. 75–85% of the top 10% of the executive's highest performing employees within the executive's span of control is retained, promoted, or rewarded.
5. Workforce competency is enhanced by 75–85% of employees' completion of objectives of their Individual Development Plans as permitted by budget/resource constraints.
6. 80–85% of new hires align with defined organizational succession plan objectives and organizational strategic goals.

- **Critical Element 3 — Business Acumen**

Objective: Organizational Excellence

Executives must include the following:

1. Increased Statutory and Regulatory compliance as measured through timely completion of corrective actions related to financial statement and Office of Personnel Management audits and other external reviews.

Executives must select one of the following:

2. Property is well accounted for as evidenced by a reported inventory accuracy rate of at least 85–95% with no more than 5% of accountable property designated as not found or missing.
3. Support financial and administrative service improvement through collaboration with Staff Offices/Line Offices on business re-engineering processes.
4. Increased use of Enterprise IT services.
5. Demonstrable increase in use of NOAA Link.
6. Ensure 90% compliance with all applicable environment, health, safety and security requirements, and promote continuous improvement in safety performance.
7. Safety goals are effectively used to monitor and improve federal and contractor safety performance in accordance with NOAA Policy.

- **Critical Element 4 — Building Coalitions**

Objective: Provide outstanding customer service, develop networks and build alliances

Executives must select one of the following:

1. Notable customer service improvements are accomplished or sustained through actions taken in response to customer service surveys, feedback mechanisms, and/or indices.
2. Interact and collaborate across Line Offices and other external organizations to build partnership and trust, demonstrated by bringing together at least two groups (internal and/or external) to achieve a NOAA goal.

- **Critical Element 5 — Results Driven**

Objective: Manage for Results

This critical element includes specific performance results expected from the executive during the appraisal period which focus on measurable outcomes aligned with the strategic plan or other measurable outcomes that are clearly aligned to organizational goals and objectives.

*Executives must include up to five outcome measures from the FY 2014 Annual Operating Plans (either NOAA or organizational level, as appropriate), and demonstrate strategic alignment by citing the relevant goal(s)/objective(s) (and page numbers where they can be found) in the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document.*

### **Executive Development Plans**

In accordance with 5 CFR 412.401, SES members are required to prepare, implement, and regularly update an Executive Development Plan (EDP). The EDP is a key tool in assisting executives in their continued development. While finalizing performance plans, Executives should prepare their EDPs to outline short-term and long-term developmental activities that will enhance the executive's performance. These activities should meet organizational needs for leadership, managerial improvement, and results. EDPs should be reviewed regularly as part of the performance review cycle and revised as appropriate to ensure continued executive development that focuses on one or more of the five ECQs. Please note that the EDP requirement is not applicable to those in ST/SL positions.

### **References and Questions**

The Executive Performance Agreement template and instructions, the Executive Development Plan Template, and a Guide to Writing an Executive Development Plan are attached to this memorandum. If you have any questions during the performance planning process, I encourage you to contact your Line Office/Staff Office SES liaison or the WFMO Executive Resources Division.

cc:

Line/Staff Office SES Liaisons

Attachments:

- A – Executive Performance Agreement
- B – Executive Performance Agreement Instructions
- C – Executive Development Plan Template
- D – Guide to Writing an Executive Development Plan