



UNITED STATES DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
WORKFORCE MANAGEMENT OFFICE

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MEMORANDUM FOR: NOAA Chief of Staff  
NOAA Deputy Under Secretary for Operations  
Assistant Administrators  
Deputy Assistant Administrators  
Staff Office Directors

FROM: Kimberlyn Bauhs  
Director for Workforce Management

SUBJECT: FY16 Executive Performance Plans

This memorandum is a reminder that all Executives within Line and Staff Offices must have their FY 2016 performance plans documented, signed and in place on the Executive Performance Agreement no later than January 8, 2016. If you have not done so, now is the time for all Executives to work with their supervisors to finalize their FY16 performance plans.

It is important to note that in order for the Department of Commerce (DOC) to maintain full certification for SES, all NOAA Executives must ensure their FY16 performance plans are results-oriented, contain measurable outcomes, and are linked to organizational goals (e.g., S.M.A.R.T performance goals – specific, measurable, achievable, relevant and time-based). Performance results must be written at the Fully Successful Level (Level 3).

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

The performance plan agreement form 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 for FY16 are listed below.

• **Critical Element 1 – Leading Change (weight 10%)**

There will be no NOAA-wide performance requirement for this element in FY16. It is strongly recommended that individual Line and Staff office leadership teams develop a required element in this category for their respective executives that reflect evolving organizational goals and a common leadership vision for the future state of your organizations.

• **Critical Element 2 – Leading People (weight 15%)**

Objective: Workforce Excellence and Performance Management Accountability

Agency Specific Performance Requirements:

Demonstrates commitment to the goals of the DOC Diversity and Inclusion Strategic Plan and NOAA's Nov 6, 2015 Diversity & Inclusion Policy Statement by shaping, guiding and supporting D&I initiatives within each organization to include commitment to and success in recruiting, retaining and supporting a diverse workforce and creating and maintaining an inclusive work environment.

- **Critical Element 3 – Business Acumen**

**(Weight 25%)** - Certain executives ( Chief Financial Officers, Chief/Assistant Information Officer, Director for Workforce Management, and Director of Acquisition and Grants) will contain specific performance language as required by DOC.

**(Weight 15% - For All Others)**

There will be no NOAA-wide performance requirement for this element in FY16. It is strongly recommended that individual Line and Staff office leadership teams develop a required element in this category for their respective executives that reflects evolving organizational goals and a common leadership vision for the future state of your organizations.

- **Critical Element 4 – Building Coalitions (weight 10%)**

There will be no NOAA-wide performance requirement for this element in FY16. It is strongly recommended that individual Line and Staff office leadership teams develop a required element in this category for their respective executives that reflects evolving organizational goals and a common leadership vision for the future state of your organizations.

- **Critical Element 5 – Results Driven**

**(weight 40% for CIO, WFMO, CFO, & AGO Executives)**  
**(weight 50%, all others)**

This critical element includes specific performance results expected from the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives.

Executives must include **at least one and no more than five outcome measures** from the NOAA Annual Operating Plans, DOC Strategic Objective Action Plans, or other program management document. Strategic Alignment must be demonstrated by citing the relevant goal/objective (by page number where possible) in the NOAA or DOC Strategic Plans, Congressional Budget Justification documents, Annual Performance Plan documents, or other organizational planning document.

**Executive Development Plans (EDPs)**

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 which will enhance the executive's performance. These activities should meet organizational needs for leadership, managerial improvement, and results. EDPs should be reviewed annually and revised as appropriate to ensure continued executive development that focuses on one or more of the five Executive Core Qualifications (ECQs). The five ECQs are Leading Change, Leading People, Results Driven, Business Acumen, and Building Coalitions. Please note that the EDP requirement is not applicable to those in Scientific or Professional (ST) or Senior Leader (SL) positions.

**Supervisor Guidance**

In accordance with the Department Executive Resources Policy Manual, supervisors are encouraged to maintain individual folders on their executive employees. Folder should contain the employee's performance appraisals for the last five years, position description, and EDP.

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