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

MAR 24 2017

MEMORANDUM FOR: Assistant Administrators
Deputy Assistant Administrators
Staff Office Directors

FROM: Kimberlyn Bauhs
Director for Workforce Management

SUBJECT: Senior Executive Service and Senior Professional Performance Progress Reviews for Fiscal Year 2017

Providing effective monitoring and regular feedback on employee performance are critical to ensuring that the Department of Commerce and NOAA's mission-critical objectives are being met. The Department's Senior Executive Service (SES) and Senior Professional (ST/SL) performance cycle is concurrent with the fiscal year, from October 1 through September 30. Federal regulations require at least one performance progress review be conducted during the appraisal cycle. **FY2017 progress reviews should be conducted no later than April 28, 2017. Upon completion of the progress reviews, copies of SES/ST/SL plans must be provided to Executive Resources no later than May 5, 2017.**

The progress review must include a discussion of:

1. The executive/senior professional's progress toward meeting the objectives of the elements of his/her performance agreement;
2. The need for changes in the plan based on changes in mission and administrative requirements and responsibilities; and
3. Any performance deficiencies and the rating official's recommendations on how to improve them.

You may also discuss development opportunities with each of your senior executives. When conducting the progress reviews, you are encouraged to direct executives' attention to the SES Performance Standards for Critical Elements, contained on page 2 (attached) of the Executive Performance Agreement, which are the standards by which their performance will be appraised at the conclusion of the performance management cycle.

The progress reviews must be formally documented on the Executive Performance agreement in Part 2, Progress Review, with both the rating official and the employee signing and dating the form. The reviewing official may sign the progress review as well. The rating official must also ensure that progress reviews are scheduled and documented for executives who entered SES positions after the beginning of the performance cycle. These progress reviews should be conducted near the midpoint of the abbreviated appraisal period. The same requirements apply for ST/SL employees; however, the progress reviews are documented on the CD-518, Senior Professional Performance Agreement.

If you have any questions concerning the performance progress review, please contact Christina Serrano, Acting Director, Executive Resources Division, at (301) 713-6387.

Attachment

cc: Line/Staff Office Executive Liaisons

Executive Name and ID: Appraisal Period:

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.

- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points