Module 4: Developing Performance Plans

Estimated Time to Complete Module 4

270 minutes

LESSON
Lesson 1: Overview of Performance Planning
Lesson 2: Developing Critical Elements for Performance Plans
Activity 4-1: Selecting and Writing Critical Elements
Lesson 3: Developing Performance Standards
Lesson 4: Guidelines for Writing the Standards
Activity 4-2: Writing Performance Standards
Activity 4-3: Writing Your Own Performance Standards
Lesson 5: Communicating Expectations to Employees

Module Objectives

At the conclusion of this module, you will be able to:

- Describe HUD requirements for an employee performance plan
- Develop critical elements and performance standards for an employee performance plan
- Discuss performance expectations effectively with employees

Lesson 1: Overview of Performance Planning

	Notes:
Module 4: **Developing Performance Plans**	

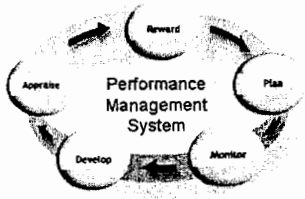|	Notes:
Objectives At the completion of this module, you will be able to: • Describe HUD requirements for an employee performance plan • Develop critical elements and performance standards for an employee performance plan • Discuss performance expectations effectively with employees 2	

Planning Means...

- Setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives.
- Establishing the measures that will be used to determine whether expectations and goals are being met

Performance Management System

Reward · Plan · Monitor · Develop · Appraise

3

Notes:

Why Performance Plans?

- An increased emphasis on aligning individual work with mission
- A commitment to acknowledging and rewarding performance so that those who are contributing the most are rewarded appropriately
- An ability to distinguish levels of performance

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Notes:

Purpose of Performance Plans

- Clarifies priorities for the performance cycle
- Establishes performance criteria that employees will be accountable for achieving
- Clarifies for staff what is important and what will be rewarded
- Demonstrates the commitment to organizational effectiveness
- Adheres to the focus on RESULTS-based leadership

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Notes:

Critical Element

- A work assignment or responsibility so important that failure to perform it successfully can be grounds for removal from the position
- All elements at HUD are critical elements

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Notes:

Performance Plans Under PACS and EPPES

PACS
- Critical elements are uniform and based on strategic goals
- Performance standards for the elements are uniform
- Specific goals for the year are written as objectives

EPPES
- Critical elements established by supervisor
- Standards are different for each critical element
- Objectives are not included

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Notes:

PACS

05PACSA00101

<table>
<tr><td colspan="4" align="center">Performance Accountability and Communication
System Summary Rating Form</td></tr>
<tr><td colspan="4" align="center">Employee Information</td></tr>
<tr><td colspan="2">Employee Name</td><td colspan="2">Title / Pay Plan - Series / Grade</td></tr>
<tr><td colspan="2">Organizational Code / SON / NFC Code</td><td colspan="2">Rating Period
From: To:</td></tr>
<tr><td colspan="2" align="center">Planning Discussion</td><td colspan="2" align="center">Progress Review</td></tr>
<tr><td colspan="2">Rating Official Signature/Date</td><td colspan="2">Rating Official Signature/Date</td></tr>
<tr><td colspan="2">Employee Signature/Date</td><td colspan="2">Employee Signature/Date</td></tr>
<tr><td colspan="2"></td><td colspan="2">Review Official Signature/Date (for Unsatisfactory)</td></tr>
<tr><td colspan="4" align="center">Comments</td></tr>
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Rating

	Critical Elements	Progress Review	Final Rating
	Departmental Goals and Objectives	NR O E FS MS U	NR O E FS MS U
	Embrace High Standards of Ethics, Management, and Accountability		
	Ensure Cross-Program Partnerships, Collaboration, and Support		

<table>
<tr><td colspan="2" align="center">Summary Rating</td></tr>
<tr><td colspan="2">☐ Outstanding   ☐ Excellent   ☐ Fully Successful ☐ Min Satisfactory ☐ Unsatisfactory</td></tr>
<tr><td>Rating Official Signature/Date</td><td>Reviewing Official Signature/Date (for Unsatisfactory)</td></tr>
<tr><td colspan="2" align="center">Acknowledgment</td></tr>
<tr><td colspan="2">My signature on this form does not imply agreement or disagreement with the rating received.
Employee Signature/Date</td></tr>
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Critical Element: Embrace High Standards of Ethics, Management, and Accountability		
Performance Objectives	Required Resources	Due Date

Standard for Successful Performance: Departmental Goals	
Performance consistently demonstrates the following characteristics on a routine and regular basis. Failure to meet the standard is the exception rather than the rule.	
Workload Management	· Meets deadlines on priority assignments. Delays are generally caused by factors outside executive's control. · Completes routine assignments by established due date or requests extension. · Continues to make progress toward completing other assigned, lower priority work.
Quality of Work	· Exhibits an understanding of and support for organizational objectives. · Work products are complete, thorough, and comply with established policies and procedures.
Customer Service	· Treats all customers, internal and external, with respect and courtesy. · Provides accurate advice and guidance to internal and external customers. · Is resourceful in providing options and alternatives. · Coordinates with all affected parties to establish realistic goals and time frames. · Responds promptly to telephone calls, e-mail messages, inquiries, and requests for assistance.
Communication	· Written products are clear, complete, organized, responsive, and accurately reflect program policies and procedures. · Oral communications provide understandable information to staff, clients, and the general public. · Responses, both oral and written, are provided within established time frames. · Brings issues or conflicts with staff or clients to the supervisor's attention promptly.
Team Work	· Shares expertise and provides information, suggestions, and recommendations to enhance the overall performance of the team. · Delivers on commitments to other team members in a timely manner. · Consistently assists in resolving cross-program issues.
Problem Solving	· Anticipates and resolves normal problems. · Develops, evaluates, and advocates alternatives to resolve problems. · Involves higher management as appropriate. · Monitors assigned program areas with sufficient frequency to identify potential problems.

Standard for Successful Performance: Management	
Performance consistently demonstrates the following characteristics on a routine and regular basis. Failure to meet the standard is the exception rather than the rule.	
Human Capital Management	· Maintains appropriate balance between concern for people and concern for productivity. · Fosters teamwork, commitment, and quality service to customers. · Provides encouragement, guidance, and direction to teams and individuals. · Helps employees improve work performance through effective coaching. · Provides employees with opportunities for growth and cross training. · Uses available resources to help employees accomplish work objectives. · Establishes clear and realistic employee performance measures; evaluates employees' performance objectively. · Recognizes and rewards good performance. · Deals effectively with deficient performance. · Provides frequent, timely, honest, and constructive feedback. · Negotiates conflicts effectively.
Program/ Operational Management	· Establishes work objectives linked to organizational objectives. · Develops long-range plans. · Allocates and/or adjusts resources in response to workload/priority changes. · Communicates effectively with employees and management. · Provides clear vision and direction to staff. Consistently explains goals, objectives, and decisions. · Plans and organizes unit work effectively.
Financial Responsibility	· Manages resources to ensure program operations are efficient and avoid waste. · Utilizes financial and management systems to make responsible decisions. · Establishes/utilizes risk management and internal control processes. · Ensures timely resolution of audit findings.
Equal Employment Opportunity	· Takes actions and makes decisions regarding hiring, promotions, work assignments, training, Upward Mobility, and other personnel and administrative matters that further the Department's EEO and AEP policies and foster diversity within the HUD work place. · Treats all employees and clients F.A.I.R.ly. Actions taken in managing subordinate staff are consistently free of discrimination. · Attends EEO, special emphasis, and diversity programs and activities conducted at the workplace during work hours. · Identifies and attempts to resolve internal problems before they give rise to formal complaints or grievances, using Alternative Dispute Resolution techniques where appropriate. · Adheres to agency requirements for reasonable accommodation of employees' religious observances and of needs of employees with disabilities. · Advises senior management of any EEO/Affirmative Action/diversity issues that may negatively impact accomplishment of goals and objectives.

EPPES
Performance Appraisal

U.S. Department of Housing and Urban Development

Employee Name:		Employee's SSN: . - .	Organizational Segment:	Organization Code:
Position Title:		Series and Grade:	Date of Appraisal Period: From To	Date Rating Made:

☐ GM (PMRS Term. Provisions)   ☐ GS (General Schedule)   ☐ WG (Wage Grade)   ☐ GS-AFGE   ☐ WG-AFGE

Rating Official (Signature & Date)

X _____

Reviewing Official (Signature & Date)

X

Employee (Signature & Date)

X

Note: Employee signature indicates only that the rating has been discussed with the employee and does not signify agreement or disagreement with the rating.

Progress Review Employee's initials indicate only that the progress review meeting was held. They do not indicate agreement or disagreement with the results.

Element Ratings:

Critical Element No.	Outstanding	Highly Successful	Fully Successful	Marginally Successful	Unacceptable	Date	Supervisor's Initials	Employee's Initials
1	☐	☐	☐	☐	☐			
2	☐	☐	☐	☐	☐			
3	☐	☐	☐	☐	☐			
4	☐	☐	☐	☐	☐			
5	☐	☐	☐	☐	☐			
6	☐	☐	☐	☐	☐			
7	☐	☐	☐	☐	☐			
8	☐	☐	☐	☐	☐			
9	☐	☐	☐	☐	☐			
10	☐	☐	☐	☐	☐			
11	☐	☐	☐	☐	☐			
12	☐	☐	☐	☐	☐			

Summary Ratings

☐ Outstanding   ☐ Highly Successful   ☐ Fully Successful   ☐ Marginally Successful   ☐ Unacceptable

Employee Comments

Rating Official/Reviewing Official Comments

Sensitive Information: The information collected on this form is considered sensitive and is protected by the Privacy Act. The Privacy Act requires that these records be maintained with appropriate administrative, technical, and physical safeguards to ensure their security and confidentiality. In addition, these records should be protected against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom the information is maintained.

Elements & Standards

U.S. Department of Housing and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:

Critical Element Description:

Employee's initials indicate only that critical elements and performance standards were communicated to him/her. They do not signify agreement or disagreement.

Outstanding Performance Standards:

Fully Successful Performance Standards:

Unacceptable Performance Standards:

Actual Accomplishments:

Lesson 2: Developing Critical Elements for Performance Plans

Develop Performance Plans: The Key Steps

Develop Performance Plan

- Identify Critical Elements
- Establish Standards
- Communicate/Collaborate with employees
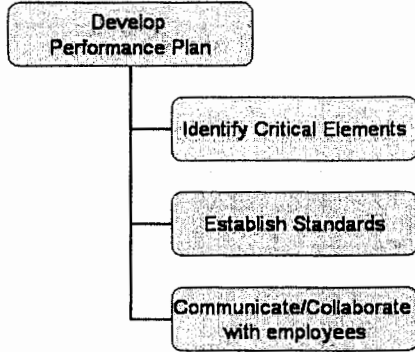
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Notes:

Aligning Performance with Goals

- Performance plans must be derived from, aligned with, and linked to one or more of the following:
  - Presidents' Management Agenda
  - HUD's organizational goals and strategic plan
  - Agency performance plans
  - Department work plans and management plans
  - Budget priorities
- Focus on results that are measurable and attainable

HUD Strategic Plan

Department Vision, Mission, Goals

Sub-entities Work Plans

Individual Performance

ANNUAL PERFORMANCE PLANS
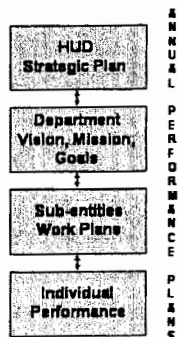
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Notes:

Developing Critical Elements

- Must have at least one critical element that is related to a HUD strategic goal
- Should have between 3 and 7 critical elements

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Notes:

Selecting Critical Elements

- Major component of the employee's work
- Describes work assignments and responsibilities within the employee's control
- Plays a significant role in accomplishing desired work unit outputs
- Consistent with employee's position and grade level

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Notes:

Job Aid
Drafting Critical Elements (1 of 2)

What is a critical element?

A performance element tells an employee *what* they have to perform on the job. A *critical* element is an assignment or responsibility of such importance that unacceptable performance in that element would result in a determination that the employee's overall performance is unacceptable.

How many critical elements does an employee need?

Generally, each employee may have one to seven critical elements in his or her performance plan. Every employee's performance plan must include one critical element that is related to the achievement of the department's strategic goals.

What resources contribute to the content of critical elements?

When establishing an individual's critical elements, it is useful to refer not only to the employee's position description, but also to broader group and organization goals. This practice supports goal alignment throughout the agency and creates a more effective organization.

▸ **Organizational Goals**
   Refer to HUD goals in annual performance plans for the agency and in strategic plans.

▸ **Work Unit Outputs**
   Depending upon your work unit, desired outputs may be documented differently or not at all. If they have not yet been documented for your work unit, consider: What are the critical steps in your work process? What products/services do your customers expect? Contribution to these items will be good candidates for critical elements of employee performance.

▸ **Position Descriptions**
   Use position descriptions to help match key duties/responsibilities of individual employees with the desired work unit outputs.

Job Aid

Drafting Critical Elements (2 of 2)

What should you consider in selecting critical elements?

▶ **Is it a major component of the employees work?**
If a task or duty constitutes a primary responsibility of the employee, comes with significant consequence for error (safety, high cost, etc.), or is required under a regulation, then generally it should be a critical element.

▶ **Does it describe work assignments and responsibilities that are within the employee's control?**
Unacceptable performance is defined in section 4301(3) of title 5, United States Code, as failure on one or more critical elements, which can result in the employee's reassignment, removal, or reduction in grade. Therefore it is crucial that these elements address individual performance that is within the employee's control.

▶ **Does it play a significant role in accomplishing desired work unit outputs?**
If employee error on the element would affect the work unit's ability to meet its goals, the element is likely to be critical. See contributing resources above for more information on aligning with organizational goals.

▶ **Is it consistent with the employee's position and grade level?**
Review employee position descriptions to ensure consistency. Employees in like positions and with like position descriptions will ordinarily have like elements; be prepared to explain and justify any differences.

What should you consider in writing critical element statements?

▶ **Reflects accomplishments rather than activities**
Activities are the actions to be taken to produce results and are generally described using verbs (e.g., filing documents, developing software, and answering customer questions). *Accomplishments* are the product or service results of those actions and are generally described using nouns (e.g., files that are orderly and complete, a software program that works, and accurate guidance to customers). Accomplishments set clearer expectations for employees; therefore, measuring and rewarding accomplishments, rather than activities, often improves results.

▶ **Clearly, accurately, and specifically defines the expected accomplishment to minimize interpretation errors.**
All elements should be either quantifiable or verifiable by the supervisor.

Example of Cascading Goals to the Performance Element Level

HUD Strategic Goal	Embrace high standards of ethics, management, and accountability
	• Rebuild HUD's human capital and further diversify its workforce
Administration Management Plan	Improve the hiring cycle for Senior Executive Service (SES) and non-SES employees
National Performance Goal	The average monthly recruitment time for non-SES positions will stay within the OPM standard of 45 days recruitment time from announcement closing to candidate offer.
SES Performance Objective	Ensure an average of all recruitments completed within 45 days
HR Specialist Critical Element	Recruitment

Activity 4-1: Selecting and Writing Critical Elements

Activity 4-1	Notes:

• **Directions**
  – Review the material provided in your Participant Guide, including:
    • HUD strategic goals
    • Management plan excerpts for Admin and CPD
    • Position description for a position within Admin or CPD
  – In your groups, develop a list of critical elements that could be used for the position
 	
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Activity 4-1 Selecting and Writing Critical Elements

Directions:

1. Review the material provided in your Participant Guide, including:

    ◆ HUD strategic goals

    ◆ Management plan excerpts for Admin and CPD

    ◆ Position description for a position within Admin or CPD

2. In your groups, develop a list of critical elements that could be used for the position. You may need to make some assumptions in order to complete the exercise.

3. Complete the worksheet on the next page.

Activity 4-1 Worksheet

HUD Strategic Goal:	
Management Plan Goal:	
Critical Element 1:	

HUD Strategic Goal:	
Management Plan Goal:	
Critical Element 2:	

HUD Strategic Goal:	
Management Plan Goal:	
Critical Element 3:	

HUD's Strategic Framework – FY 2006 Annual Performance Plan

Mission: Increase homeownership, support community development, and increase access to affordable housing free from discrimination.

Programmatic Strategic Goals		
INCREASE HOMEOWNERSHIP OPPORTUNITIES	**PROMOTE DECENT AFFORDABLE HOUSING**	**STRENGTHEN COMMUNITIES**
◆ Expand national homeownership opportunities ◆ Increase minority homeownership ◆ Make the home buying process less complicated and less expensive ◆ Fight practices that permit predatory lending ◆ Help HUD-assisted renters become homeowners ◆ Keep existing homeowners from losing their homes	◆ Expand access to affordable rental housing ◆ Improve the physical quality and management accountability of public and assisted housing ◆ Increase housing opportunities for the elderly and persons with disabilities ◆ Transition families from HUD-assisted housing to self sufficiency	◆ Provide capital and resources to improve economic conditions in distressed communities ◆ Help organizations access the resources they need to make their communities livable ◆ End chronic homelessness and move homeless families and individuals to permanent housing ◆ Mitigate housing conditions that threaten health
Cross-Cutting Strategic Goals		
ENSURE EQUAL OPPORTUNITY IN HOUSING	**EMBRACE HIGH STANDARDS OF ETHICS, MANAGEMENT, AND ACCOUNTABILITY**	**PROMOTE PARTICIPATION OF FAITH-BASED AND COMMUNITY ORGANIZATIONS**
◆ Provide a fair and efficient administrative process to investigate and resolve complaints of discrimination ◆ Improve public awareness of public housing laws ◆ Improve housing accessibility for persons with disabilities	◆ Rebuild HUD's human capital and further diversify its workforce ◆ Improve HUD's management, internal controls and systems, and resolve audit issues ◆ Improve accountability, service delivery, and customer service of HUD and its partners ◆ Ensure program compliance ◆ Improve internal communications and employee involvement	◆ Reduce barriers to participation by faith-based and community organizations ◆ Conduct outreach and provide technical assistance to faith-based and community organizations to strengthen their capacity to attract partners and secure resources ◆ Encourage partnerships between faith-based/ community organizations and HUD's traditional grantees

Community Planning and Development – FY 2006 Management Plan (excerpts)

The Office of Community Planning and Development (CPD) seeks to develop viable communities by promoting integrated approaches that provide decent housing and a suitable living environment, and expand economic opportunities for low- and moderate-income persons. The primary means towards this end is the development of partnerships among all levels of government and the private sector, including for-profit and non-profit organizations.

Mission. The mission of CPD is to support state and local partners, residents, program recipients, and communities in the efficient and effective delivery of HUD programs; to protect the investment of the taxpayers; and ensure the highest standards of ethics and accountability.

Secretary's Priority. Each field office local action plan must include strategies and efforts to support the Secretary's priorities of ending chronic homelessness in ten years, and helping the homeless find permanent housing and achieve self-sufficiency.

Local Action Goals. In FY 2006, local action goals will include strategies to address the following HUD strategic goals:

- ♦ Increase homeownership opportunities
- ♦ Promote decent affordable housing
- ♦ Strengthen communities

Field Local Action Goals. For each strategic goal identified below, CPD field offices should select appropriate action items(s) to address the strategic goal. Performance statements should be measurable and outcome-focused, with target dates.

Community Planning and Development – Strategic Goals

Strategic Goal: Promote Decent Affordable Housing

This strategic goal is a central part of HUD's mission. HUD seeks to expand access to affordable rental housing, improve the physical quality and management accountability of public and assisted housing, increase housing opportunities for the elderly and persons with disabilities, and help HUD-assisted renters make progress towards self-sufficiency. CPD's activities under this strategic goal will help expand access to affordable housing.

Examples:

- Assess grantee performance and encourage increased productivity of decent affordable housing for renters and purchasers

- Coordinate technical assistance needs of grantees

- Target technical assistance to community housing development organizations (CHDOs) to increase their capacity to develop and produce decent affordable housing

- Encourage grantee participation in training events

- Collaborate and participate with other Departmental disciplines at housing seminars or workshops that promote affordable housing

Strategic Goal: Embrace High Standards of Ethics, Management, and Accountability

This strategic goal encompasses a wide array of objectives that impact families, individuals, and neighborhoods. CPD programs support community and economic development in America's low- and moderate-income communities. CPD's strategies for success at the community level under this goal include: providing capital and resources to improve economic conditions in distressed communities; helping organizations access needed resources to make their communities more livable; ending chronic homelessness; moving homeless families and individuals to permanent housing; and mitigating housing conditions that currently, or in the future, threaten health.

Examples:

- Encourage the targeting of program resources to strengthen neighborhoods and communities

- Ensure use of performance measurement by formula grantees

- Review formula grantees' Consolidated Plans, Action Plans, and Consolidated Annual Performance Reports (CAPERs) for performance outcome measures

- Encourage formula grantees to use the new Conplan tool (CPMT) to develop their next five-year Consolidated Plan

- Encourage entitlement grantees to establish HUD-approved Neighborhood Revitalization Strategy Areas (NRSAs) where there are qualifying areas

- Facilitate access to technical assistance providers to assist local communities in implementing and eliminating lead-based paint risks in rental and homeownership housing

- Participate in efforts by local governments in developing strategies for expanding affordable housing and ending chronic homelessness

- Provide direction and assistance to entitlement Community Development Block Grant (CDBG) grantees to ensure that the number of grantees that become newly untimely either decreases, or where appropriate, does not increase

Strategic Goal: Promote Participation of Faith-Based and Community Organizations

One of HUD's goals is to break down the barriers and substantially strengthen and expand its partnerships with faith-based and community groups to take full advantage of their capacity to provide quality services to communities and families.

Examples:

- Encourage grantees to provide equal access to CPD resources for faith-based and grassroots non-profit organizations

- Provide information on CPD programs at meetings and workshops sponsored by faith-based and community organizations

- Participate in HUD-sponsored, faith-based conferences to provide technical assistance and training on CPD programs

- Encourage formula grantees to report faith-based funded activities in the Integrated Disbursement and Information System (IDIS)

Strategic Goal: Ensure Equal Opportunity in Housing

This strategic goal focuses on working with stakeholders in promoting the fair housing laws to help ensure that all households have equal access to rental housing and homeownership opportunities. HUD is committed to ending the practice of discrimination through enforcement of fair housing laws, as well as through educating lenders, real estate professionals, housing providers, and residents in complying with the laws.

Examples:

- Encourage efforts by formula grantees to take actions to overcome impediments to accessible housing

- Promote the Fair Housing Initiatives Program (FHIP) and the Fair Housing Assistance Program (FHAP) as resources to entitlement grantees for fair housing and equal opportunity (FRED) training

- Educate grantees on fair housing requirements and other applicable civil rights laws

- Provide technical assistance or other appropriate actions to help grantees increase the use of Minority Business Enterprises and Women Business Enterprises (MBEs/WBEs)

- Collaborate with FHEO to sponsor training session(s) for grantees on Section 3 and Section 504 requirements

Strategic Goal: Increase Homeownership Opportunities

This strategic goal focuses on HUD's activities to expand homeownership opportunities for minorities and low- and moderate-income families. CPD's activities under this strategic goal will help make homeownership more accessible and less expensive for families.

Examples:

- Support strategies for increasing homeownership opportunities

- Provide appropriate technical assistance to grantees using tools such as the HOME Performance Snapshot

- Assess performance of HOME participating jurisdictions (PJs) and CDBG entitlement communities on activities to promote homeownership

Sample Position Description for CPD

POSITION DESCRIPTION
COMMUNITY PLNG & DVLPMT SPECLST, GS-0301-12

SETID	HUD01	JOB CODE	HD0069	DATE	05/24/2001	OPM CERT #		
PAY PLAN	GS	SERIES	0301	GRADE	12	PAY BASIS	Per Annum	FUNC CLASS	NA
WORK TITLE	COMMUNITY PLNG & DVLPMT SPECLST							
SPVY LEVEL	Other	POSITION SENSITIVITY	NCrit Sens	LEO POSITION	N/A	MEDICAL CHECK REQ	No	IRIS CODE	0005
FLSA	Exempt	PATCOB	Admin	EXECUTIVE DISCLOSURE	No	EMPL FIN INTEREST	No	FUND SOURCE	Approp Fnd
CLASSIFIER	Danna Wilkins							
CLASS STANDARD	US OPM MISCELLANEOUS ADMINISTRATIVE AND PROGRAM SERIES, GS-301, TS-34, JAN 79. US OPM PCS ADMINISTRATIVE ANALYSIS GRADE EVALUATION GUIDE, DTD AUG 90, TS-98.							
DATE CLASSIFIED	05/24/2006							

MAJOR DUTIES

A. Maintains information systems for the proper inventory and routing of applications and related correspondence for assigned economic development programs.

B. Carries out all pre-award responsibilities for grant management for assigned economic development programs.

C. Advises the Office Director on pre-award and post-award problems and issues specifically involving Congressionally targeted grants.

D. Reviews applications and program reports for assigned CPD programs. Notifies senior level staff on any disparities or deficiencies and recommends solutions.

E. Answers inquiries by letters or telephone relating to CPD programs from available material or material made available by the DAS or senior level staff. Prepares reports and statistical data in conformance with HUD Headquarters or Field Offices requirements.

F. Responsible for inputting and updating information into the Line of Credit Control System (LOCOS).

G. Provides oral and written guidance concerning direct interpretation of policies and procedures, including direct communication with field offices, grantee, public interest groups, lobbyists, and Congressional staff.

H. As assigned, develops procedures for improved administration of the Neighborhood Initiative and Congressionally targeted special purpose grant programs, and other programs as assigned.

I. Gathers information to respond to Freedom of Information Act Requests.

J. Analyzes appropriate data to develop and recommend operations policy and procedural option on complex issues relating to competition management and financial systems for OED programs.

K. Ensures responses to complex written and oral inquiries from Congress, State and local government officials, non-profit organizations and citizens are consistent with current policy.

L. Negotiates solutions to complex program problems with HUD staff, grantees; other Headquarters offices and recommends position to senior level Headquarters staff.

M. Interprets policies and procedures, which are accepted by grantees and HUD staff as final.

Factor 1. Knowledge Required by the Position

Provide knowledge and support in all major CPD area including community development, economic

COMMUNITY PLNG & DVLPMT SPECLST, GS-0301-12

development and housing initiatives. This entails working on goals, objectives, and policy preparation for OED.

Knowledge and skill in applying analytical and evaluative methods and applying writing skills to program development and operational issues involving the development of program guidance and the provisions of technical assistance.

Knowledge is used to assist in the development, management and completion of program competitions, the management of programs through the field offices.

Knowledge of CPD regulations, handbooks, notices and policies.

Ability to serve in a team effort in implementing or evaluating a program. Tasks and evaluation studies typically require knowledge of the major issues, program goals and objectives, work processes and administrative operation of the office.

Knowledge is used to plan, schedule and conduct analytic tasks and evaluations and the results of these efforts are expected to involve recommendations for ways to improve the effectiveness and efficiency of HUD programs, operating policies and management procedures. The assignments require knowledge and skill in adapting analytical techniques and evaluation criteria in the collection, review and assessment of performance data.

Knowledge is applied in developing new approaches or evaluation tools or methods to gain better understanding of HUD systems, performance objectives, client benefits, partnerships with State and local governments and nonprofit organizations, the use of related resources and collaborations with other Federal programs in the effective delivery of program support.

Factor 2. Supervisory Controls

The incumbent reports directly to and receives general direction from the Supervisory Grant Program Officer or senior level staff. The incumbent takes a significant degree of independent action and initiative to ensure the functions assigned are performed effectively and efficiently. Completed work is reviewed in terms of effectiveness in achieving program goals established for the DAS and the Department and the ability to develop and achieve solutions to complex problems. The employee plans, coordinates, and carries out the successive steps in fact finding and analysis of issues necessary to complete each phase of assigned projects. The incumbents also work closely with the senior staff, which provides guidance on joint projects.

Factor 3. Guidelines

Guidelines include verbal and written instructions, Departmental Handbooks, Community Federal Regulations (CFRs). Guidelines are not always available and the incumbent must often interpret guidelines and instructions which are not always available, to meet the needs of CPD's management. The incumbent must use judgment in researching regulations, and in determining the relationship between guidelines and organizational efficiency, program effectiveness, or productivity.

Factor 4. Complexity

Provides written and oral guidance and assistance where required concerning the interpretation of policies, rules and regulatory provisions. This includes direct communication and correspondence with field staff, representatives of public and private interest groups and state and local government officials and lobbyists. The incumbent handles a variety of matters simultaneously, involving different methods and procedures, and must make decisions regarding appropriate methods to use.

Factor 5. Scope and Effect

COMMUNITY PLNG & DVLPMT SPECLST, GS-0301-12

The purpose of the work is to contribute to the improvement of responsiveness, effectiveness, and efficiency in HUD programs operations and or administrative support activities. Work involves establishing criteria to measure and or predict the attainment of policies, organizational goals and objectives of the OED's programs. Work affects the plans, goals, and effectiveness of HUD's mission and programs. Work may affect the nature of administrative work done in components of other agencies.

Factor 6. Personal Contact

Personal contacts are with HUD employees, supervisors, and HUD clients. Directors and other staff in nonprofit organizations of state and local government, as well as consultants, contractors, grantees and other Federal agencies in the moderately unstructured setting. Contacts may include contacts with the head of the agency (e.g. office manager) or program officials (e.g. Directors from other divisions or Regional office staff), and clients.

Factor 7. Purpose of Contacts

Contacts are made to influence managers or other officials to implement the requirements of Federal programs, findings and recommendations on grants management compliance or effectiveness. May encounter resistance due to such issues as organizational conflict, competing objectives, or resource problems.

Factor 8. Physical Demands

The work is primarily sedentary, although some slight physical effort may be required.

Factor 9 Work Environment

Work is typically performed in an adequately lighted and climate controlled office. May require occasional travel.

JOB COMPETENCIES (The full range of competencies for the occupational series is provided for information and development purposes; not every competency displayed is required at the individual position level.)

EVALUATION STATEMENT

1-7	1250
2-4	450
3-4	450
4-4	225
5-4	225
6-3	60
7-3	120
8-1	5
9-1	5

Total 2790 = GS-12 (2755 - 3150)

Office of Administration – FY 2006 Management Plan (excerpts)

Mission, Customers, and Principles

The Assistant Secretary for Administration is responsible for carrying out all administrative support functions that enable our workforce to execute HUD's mission. This includes responsibility for all activities related to human capital management, employee training and development, space management, records management, protection/security of HUD personnel and property, and grants management. Field administrative staff provides daily administrative and human capital support services to HUD's program staff in more than 80 field offices and service center locations.

The Secretary has made a commitment to provide excellent services and results, and to improve performance in program management that reflects the highest standards of ethics, management, and accountability. The Office of the Assistant Secretary for Administration places the highest priority on these principles. The Office of Administration will:

- Deliver timely, reliable, and high quality services and products
- Manage human resources effectively
- Strengthen HUD's knowledge and skills capacity
- Establish accountability across the board for achieving mission-critical goals

Overview of FY 2006 Objectives and National Performance Goals

The Assistant Secretary for Administration plans to complete the following objectives and national performance goals that support the Department's FY 2006 Management and Annual Performance Plans. The objectives and goals also contribute to achieving the objectives established in the President's Management Agenda for Strategic Management of Human Capital. Major areas of Office of Administration national focus during FY 2006 include:

- Continue implementing the Departmental Strategic Human Capital Management Plan by:
  - Implementing the departmental workforce plan, which contains strategies for reducing skill gaps in mission critical occupations
  - Improving the hiring cycle for Senior Executive Service (SES) and non-SES employees
  - Increasing the level of employee satisfaction on the employee survey
- Developing a comprehensive test, training, and exercise (IT &E) program, as required by Federal Preparedness Circular Number 66, to ensure that the Department's Continuity of Operations Plans (COOP) are complete and executable
- Improving communications on major initiatives within the Department
- Implementing recommendations from evaluators to improve the level of services provided
- Implementing the e-Government goal of making competitive grant applications available online
- Utilizing the space in the Department in a more efficient manner

- In coordination with the Office of the Chief Information Officer (OCIO), issuing HUD Contingency Plans in accordance with National Institute of Standards and Technology (NIST) and Homeland Security guidance
- Improving content and design of Administration's Web pages
- Achieving timely audit management decisions and final actions
- Reducing leased space over the 2005 baseline
- Issuing and implementing the HUD Integrated Human Resources and Training System (HHRTS) Communications Plan

LEAD	NATIONAL PERFORMANCE GOAL	FY 2006 NATIONAL TARGET
Training	**Reduce skills gaps.** Reduce technical skills gaps in one mission critical occupation in the four core areas (PIH, CPD, Housing, and FHEO) by 10 percent.	10 percent reductions
OHR	**Recruiting cycle.** The average monthly recruitment time for non-SES positions will stay within the OPM standard of 45 days recruitment time from announcement closing to candidate offer.	45-day average
OHR	**Workforce planning.** Complete workforce analysis and plans for the following four offices: Office of Administration; Office of CFO; Policy, Development, and Research; and GNMA.	4 workforce plans
OHR	**Improve SES hiring cycle.** The average quarterly recruitment time for SES positions will be 61 days from announcement closing to candidate offer.	61 days
OHR	**Improve employee satisfaction.** Analyze the survey results from the previous FY survey, provide recommendations, and develop action plans to further improve employee satisfaction.	9/30/06
OSEP	Exercise continuity plans. Conduct annual training of the HQ COOP Emergency Relocation Group members and achieve an 80 percent level of participation.	80 percent level of participation
Grants	**On-line grant applications.** Seventy-five (75) percent of competitive grant applications will be available electronically through the Internet.	75 percent
Grants	**Grants outreach plan.** HUD will issue a grants management departmental outreach plan that will outline an outreach strategy for Grants.gov.	One plan
OMAP	**Timely audit management decisions and final action.** Reduce the number of audit recommendations where final action is more than 12 months overdue by 50 percent.	50 percent
OAMS	**Tenant satisfaction survey.** Analyze survey results from the previous FY survey, establish baselines, make recommendations, and develop action plans to further improve employee satisfaction.	9/30/06
OPS	**HIHRTS Communications Plan implementation.** Complete 90 percent of the goals included in the HIHRTS Communications Plan within the established timeframes.	90 percent

Sample Position Description for Administration

POSITION DESCRIPTION
PROG SPECLST, GS-0301-13

SETID	8U/D01	JOB CODE	HAD150	DATE	02/03/1996	OPM CERT #			
PAY PLAN	GS	SERIES	0301	GRADE	13	PAY BASIS	Per Annum	FUNC CLASS	NA
WORK TITLE	PROGRAM SPECIALIST (HUMAN CAPITAL)								
SPVY LEVEL	Other	POSITION SENSITIVITY	NC not Sens	LEO POSITION	N/A	MEDICAL CHECK REQ.	No	TITLE CODE	1111
FLSA	Exempt	PATCOB	Admin	EXECUTIVE DISCLOSURE	No	EMPL. FIN. INTEREST	No	FUND SOURCE	Approp Fnd
CLASSIFIER	Dianne Walker								
CLASS STANDARD	US OPM PCS MISCELLANEOUS ADMINISTRATIVE AND PROGRAM SERIES, GS-0301, TS-34 DTD JAN 1979; US OPM PCS ADMINISTRATIVE ANALYSIS GRADE EVALUATION GUIDE, TS-98 DTD AUG 1990.								
DATE CLASSIFIED	02/03/2006								

MAJOR DUTIES

The incumbent plans, designs, conducts, researches, and reports on a wide variety of human capital initiatives. Retrieves, analyzes, and reports via statistical and qualitative analysis of data, research and evaluation methodologies. Serves as a human capital development, organizational needs and skills needs assessment advisor and specialist. Consults with and advises management, employee development, and training staff based on findings, research, and benchmarking data.

Provides managers and supervisors with accurate, complete, useful, and timely human capital data. Leads activities with program managers and administrative officers to determine appropriate activities to achieve the Department's human capital strategies within their program office at both headquarters and field locations.

Conducts studies and examines management information data to assess the appropriate supervisory span of control for assigned program offices. Participates in various activities in the Office of Human Resources to determine the appropriate supervisor to employee ratio for HUD.

Participates with staffing managers, Training Services and program officials to address human capital issues pertaining to assessment of skills gaps and imbalances, targeted employee development, and targeted recruitment. Maintains a clear focus on established workforce planning strategies for the individual program offices and the Department. Participates aggressively in various activities to address skill gaps identified in program office workforce plans. Works with program staff to coordinate training opportunities; mentoring assignment; competitive sourcing options and possible E-Gov solutions to support comprehensive workforce planning.

Participates heavily in the Department's strategic workforce planning effort, including coordinating with the contractor and human resources staffs, Department-wide. As assigned, performs a ¿Desk Officer¿ support function with program offices to support the accomplishment of workforce analysis activities lead by the contractor. Establishes and maintains program documentation regarding significant support services provided to program offices and contractor performance.

Supports and assists HUD¿s staffing and recruitment specialists and managers in identifying and evaluating outside organizations, institutions, professional associations, colleges, and universities in specializations appropriate for HUD¿s functions to identify talent pools, obtain information and data concerning human capital development training, research and methodologies to prepare people for careers.

Maintains current knowledge of HUD organization and functions. Maintains state-of-the-art skills and knowledge in human capital development, organization assessments, workforce planning models and technological advancements. Establishes a reference resource, which includes historic documentation regarding the Human Capital Strategic Plan, its subsequent implementation plan; individual program office workforce plans; summary Departmental Workforce Analysis Report; Departmental Workforce Plan, and Human Capital Accountability Assessment Plan. Provides support to

PROG SPECLST, GS-0301-13

the HUD Executive Steering Committee for Human Capital Management regarding these plans and required action items.

Analyzes and develops procedures and policy proposals, directives, etc, to support effective human capital management in HUD. Conducts research and forecasting in order to provide program offices with best practices and advanced insights for workforce planning and succession planning. Designs survey instruments; project plans, and prepares reports.

Establishes and maintains contact with Federal, State and local agencies, as well as professional organizations at local, state, and national levels to keep abreast of innovative approaches for workforce and succession planning and to identify best practices for recruitment and retention.

Participates in briefings, meetings, and conferences with executives and other management officials to provide information, answer questions, and plan Departmental actions to respond to HUD;s oversight partners on human capital issues. Performs other duties as assigned.

FACTOR I. KNOWLEDGE REQUIRED BY THE POSITION (Level 1-8, 1550 points)
Mastery knowledge of program evaluation methodologies, including survey, research, and statistical methods, as well as a broad range of research designs to lead organizational needs assessments; design and evaluate measurement instruments; and evaluate various human resources management programs and activities with responsible managers and supervisors.

Comprehensive knowledge of the principles of human resources and personnel systems, processes, programs and databases to appropriately request, retrieve and analyze related statistics and data. Ability to develop, maintain, and analyze database information and skills inventories.

Knowledge of the Department, structure, mission, operating programs and policies, including the strategic objectives, annual performance plans and various reports for monitoring the progress of human capital activities. Knowledge of President;s Management Agenda (PMA), federal human capital policies and procedures, HUD;s human capital polices and related guidance. Knowledge of the PMA scorecard; OPM Human Capital Dimensions and Critical Success Factors; GAO Cornerstones for Human Capital; and the Human Capital Assessment and Accountability Framework.

Regular and recurring assignments require a working knowledge of program priorities; mission critical functions; related skill and competency gaps; workforce planning initiatives and priorities; and increased emphasis on competitive sourcing requirements and E-Gov solutions.

Skill in communicating orally; presents briefings and new concepts, persuasively.
Ability to communicate in writing to prepare project plans; action plans; assessment tools; draft policies; technical guidance; advise and provide consultation to all levels of management and staff; and gain approval of new assessment processes, project plans and proposals.

FACTOR II. SUPERVISORY CONTROLS (Level 2-4, 450 points)
The incumbent receives general supervision from the Director of the HCM Staff. Assignments are received in terms of broad program goals and general objectives. Generally, the incumbent works independently to complete projects without technical guidance in analyzing problems and identifying plans and procedures. The supervisor is kept informed of programs, problems, and solutions. Competed work is reviewed for achievement of objectives in compliance with approved policies and effectiveness in meeting the needs of the organization.

FACTOR III. GUIDELINES (Level 3-4, 450 points)
Guidelines include HUD mission and function statements, program policies and procedures; Office of Personnel Management policies and guidelines regarding the PMA, which are usually not specific for the actions to be taken by the agencies. Due to the nature of the regular and recurring work of the position, the employee responds to guidance from the OPM Liaison and OMB oversight partners that are very broad, federal human capital management and related actions to be taken within the

PROG SPECLST, GS-0301-13

agency to demonstrate compliance. This requires considerable interpretation and or adaptation for application to the agencies problems and issues that impact the agency;s compliance with the PMA requirements. Significant judgment is required to treat specific issues or problems; research trends, patterns and best practices; develop new methods; propose new policies and procedures or modify existing management plans and practices, so that program offices can be provided clear directions on compliance actions. Consequently, employee is tasked to develop guidance for program offices which affect actions concerning training to close skill gaps; knowledge transfer programs; organization and position management, and succession planning. This guidance is developed and presented in the form of proposed action and project plans.

FACTOR IV. COMPLEXITY (Level 4-5, 325 points)
The incumbent provides analysis of interrelated issues concerning human capital management and workforce planning for individual program offices. Employee must be able to identify and recommend solutions to complex and multifaceted human capital management problems affecting workload forecasting and workload management; staff deployment; employee development and career enhancement; recruitment and retention. The position requires that priorities are constantly changed, and important studies must be performed and accomplished concurrently, along with frequent executive management consultations. The incumbent has critical responsibilities for interfacing with all staff involved in the workforce analysis and all other human capital initiatives, e.g., program priorities; mission critical functions; related skill and competency gaps; succession planning initiatives and accountability. The work involves coordination with the Training Services and the Office of the Chief Financial Officer, and information technology staff to promote the increased emphasis on training, competitive sourcing opportunities, and viable E-Gov solutions.

FACTOR V. SCOPE AND EFFECT (Level 5-5, 325 points)
The incumbent;s work directly impacts the efficiency and effectiveness of program operations and organizational goals for effective human capital management. The purpose of the work is to promote the Department;s human capital strategies and to implement workforce and succession planning programs. The incumbent conducts studies to analyze deficiencies or to determine the need for new programs to ensure compliance with the requirements of the Proud-To-Be document and other President;s Management Agenda initiatives. The work contributes to the efficient accomplishment of the human capital objectives, ensuring that the workforce is able to meet both long and short-term human capital needs for the future of HUD;s mission. On a regular and recurring basis, the work involves identifying ways to resolve problems or cope with issues, which directly affect the Department;s human capital goals. Employee develops management proposals; drafts action plans and policy guidance and participates in management sessions wherein HUD;s oversight partners are assessing the agency;s accomplishments for subsequent reporting to the HUD Secretary.

FACTOR VI PERSONAL CONTACTS (Level 3)
Contacts include all levels of employees of the Department; staff in other Federal agencies; State, local and private agencies, regarding human capital management. Employee coordinates with other organizations, such as educational institutions, human resources offices, non-government contractors, and private industry resources. Employee has recurring contacts with HUD executives who are members of the Executive Steering Committee for Human Capital Management, agency liaisons at OPM and occasional contact with HUD;s oversight partners at OMB.

FACTOR VII PURPOSE OF CONTACTS (Level 3 ; c, 180 points)
Contacts are normally made to research or exchange information; provide advice, guidance and technical assistance. Contacts with HUD managers and supervisors are to make recommendations, conduct studies, discuss study results, coordinate plans and proposals, develop workforce planning strategies, interpret PMA and other major human resources policies, or to implement approved human capital strategies. Most contacts are to influence managers and other officials to accept and implement human capital and workforce planning strategies and actions for compliance with PMA requirements. In addition, these contacts may be to facilitate a discussion of program office accomplishments under established action plans or other specific assignments. Employee is often confronted with resistance, as program officials are distressed by the pressing workload that stems

Lesson 3: Developing Performance Standards

SMART Standards	Notes:
• Specific • Measurable • Attainable • Relevant • Time-bound 13	

CHECKLIST FOR WRITING SMART OBJECTIVES (GOOD MEASURES)

Specific: In detail, what will be accomplished? Is it concrete?

Measurable: How will you know your requirement is achieved? Can the result be determined? What is the evidence?

Achievable (attainable): Do you have the resources, tools, time, and support to make it happen?

Realistic (relevant): Is the requirement relevant to the mission and organizational goals, and can you actually get it done?

Time (time-bound): Did you identify a completion date, scheduled milestones or some other way to determine when the requirements need to be completed?

Measures

- General
  - Quality
  - Quantity
  - Timeliness
  - Cost-effectiveness
  - Other

- Specific
  - Number
  - What to look for when no numeric measurements apply

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Notes:

Lesson 4: Guidelines for Writing the Standards

Five Levels of Performance	Notes:

• Non-supervisory
  – Outstanding
  – Highly successful
  – Fully successful
  – Marginally satisfactory
  – Unacceptable
 	
• Managers/Supervisors
  – Outstanding
  – Excellent
  – Fully successful
  – Minimally satisfactory
  – Unsatisfactory
 	
15	

When Writing Standards...	Notes:
• All standards must be written as "fully successful" • Consider how the standards might be exceeded • Avoid the appearance of requiring perfection rather than excellence 15	

Absolute Standards

- Absolute standards allow NO room for errors
- Merit System Protection Board (MSBP) bars absolute standards unless failure to perform results in death, injury, breach of international security, or great monetary loss
- Avoid the use of "all," "never," "every," etc. in writing standards.

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Notes:

Performance Standards for Beta Test

- At least one element should be related to strategic goals (more if possible)
- Standards should be results-oriented
- 60 to 80% of the standards should be SMART

18

Notes:

Job Aid
Developing Performance Standards

What is a performance standard?	A performance standard tells an employee *how* they have to perform their job tasks. It describes in writing how each critical element will be measured at the Fully Successful level and may suggest specific ways to exceed that level.

Step 1: Determine General Measures.

▸ **What is the key measure of performance for the element – is it quality, quantity, timeliness, cost-effectiveness or other judged manner of performance?**

> *Quality* addresses how well the work is performed and/or how accurate or effective the final product is.

> *Quantity* addresses how much work is produced.

> *Timeliness* addresses how quickly, when, or by what date the work is produced.

> *Cost-Effectiveness* addresses dollar savings to the Government or working within a budget.

Step 2: Determine Specific Measures.

▸ **How can the general measure be assessed numerically?**

> Think about a number that can be tracked. Consider measures such as:

> - Percentage of accurate output,
> - Number of allowable errors,
> - Number of units produced or services performed,
> - Timeframe of performance, and
> - Percentage of cost savings, time savings, or waste reduction.

▸ **If no numeric measurements apply and the element can only be judged, who can judge that the element was done well? What factors would they look for?**

> The first-line supervisor is often the best person to judge performance, but there may be situations, depending on what is being measured, when a peer or the customer receiving the product or service would be the best judge.

For example, if the element is "Meetings Scheduled," judges might include both the meeting leader and attendees, and factors might include satisfaction with room size, set up by the deadline, and receipt of a notice.

Step 3: Write the standard.

▸ **All HUD standards must be written as *Fully Successful,* meaning:**

- Work is completed in a timely fashion according to priority and produced in normal quantities.

- Work products are complete, thorough, consider all appropriate aspects of the assignment, are consistent with established policies and procedures, and reflect sound knowledge of the relevant subject matter.

- Levels of performance are realistic, achievable, and based on sound rationale such as historical information (i.e., last year, a similar level was achieved), comparative analysis (workers in a similar work setting and position were achieving this level), or job-specific procedures.

▸ **Consider how the standards might be exceeded.** Though you need only document ways to exceed if an employee requests it, consider this when you write standards. HUD encourages supervisors to discuss with employees how their standards may be exceeded. Ways to exceed could include:

- More, better, or faster performance than the standard,

- Performance plus (i.e., performing other related duties or projects in addition to those required), and

- Notable or exceptional initiative, creativity, innovation, commitment, or notable/exceptional impact of activities and ideas.

▸ **Writing standards with numeric measures.** If a specific measure for an element is numeric, list the units to be tracked and determine the range of numbers that represents Fully Successful. The standard should be high enough to be challenging but not so high that it is not achievable. Allow some margin for error. Generally, avoid words such as "all," "never," or "each," that can imply an absolute standard.

Example. Element: Technical Assistance. Standards:

- No more than 3-8% errors per quarter, as determined by the supervisor.

- At least 60-80% of customers agree the employee is willing to assist and the information provided is helpful.

- Employee initially responds to customer requests for assistance within 1-8 working hours of receiving request.

Step 3: Write the standard

▸ **Writing standards with descriptive, judged measures.**

If the specific measure is descriptive, you would identify the judge, list the factors that the judge would look for, and determine what he or she would see or report that verifies that Fully Successful performance for that element had been met.

Example:

Element: Analytical Results and Specifications. Standards: The Research Manager is routinely satisfied that:

- The method measures the appropriate variables.
- The results are relevant.
- The method is scientifically sound.
- There is a well-written protocol.
- The method is accurate, precise, reproducible, fast, and cost-effective.

Step 4: Check your work.

Review the standards you've created. Do they:

▸ Clearly and simply state the specific measure of performance?

▸ Reflect the Fully Successful level (the level expected of a fully qualified, competent employee) and make clear how that level can be exceeded?

▸ Take into account administrative factors such as policy adherence, cost effectiveness, or compatibility with other work in the organization?

▸ Objectively identify performance that can be observed, measured or verified on fact?

▸ Reflect appropriate expectations for the employee's position and grade level?

Standards should challenge employees to perform quality work under the normal supervision expected of the grade level. At higher grade levels, less technical supervision is required.

▸ Show flexibility and allow a reasonable margin of tolerance?

Remember, a Fully Successful standard should be possible to exceed.

Job Aid
Reviewing a Performance Plan

Once you have developed a performance plan, checking your work is always a good idea. Use the checklist below to ensure that the elements and standards you developed to include in the performance plan are effective and meet regulatory requirements:

▶ Are the critical elements truly critical? Does failure on the critical element mean that the employee's overall performance is unacceptable?

▶ Is the range of acceptable performance clear?

▶ Are the performance expectations quantifiable, observable, and/or verifiable?

▶ Are the standards attainable? Are expectations reasonable?

▶ Are the standards challenging? Does the work unit or employee need to exert a reasonable amount of effort to reach the fully successful performance level?

▶ Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin of error?

▶ Are the standards applicable? Can the appraiser(s) use the standards to appraise performance? Can the appraiser(s) manage the data collected through the measurement process?

▶ Will work units and employees understand what is required?

▶ Are the elements and standards flexible? Can they be adapted readily to changes in resources or objectives?

▶ Is the *Fully Successful* standard surpassable? Is it possible for an employee's performance to exceed it?

Example of Writing Standards for Critical Elements

HUD Strategic Goal

Embrace high standards of ethics, management, and accountability

- Rebuild HUD's human capital and further diversify its workforce

Administration Management Plan

Improve the hiring cycle for Senior Executive Service (SES) and non-SES employees

National Performance Goal

The average monthly recruitment time for non-SES positions will stay within the OPM standard of 45 days recruitment time from announcement closing to candidate offer.

SES Performance Objective

Ensure an average of all recruitments completed within 45 days

HR Specialist Critical Element

Recruitment

Fully Successful Performance Standards:

80% of all recruitments are completed within 45 days of closing of job announcements.

Outstanding Performance Standards:

90% of all recruitments are completed within 45 days of closing of job announcements.

Unacceptable Performance Standards:

Less than 50% of all recruitments are completed within 45 days of closing of job announcements.

Activity 4-2: Writing Performance Standards

Activity 4-2	Notes:
Directions – Work with your group to write performance standards for the critical elements you have developed in Activity 4-1 19	

Activity 4-2: Writing Performance Standards

Directions:

Work together in your groups to develop performance standards for one of the critical element(s) that you have developed in Activity 4-1. Spend about 30 minutes on this exercise. When you have completed writing your standards, assess them against the checklist.

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Example of Performance Standards for Non-supervisory Employees

Human Resources Specialist, GS-0201

Element	*Standards

HR Policy Products (e.g., written guidance, reports, overviews, workshops, formal presentations)	**Fully Successful Standard:** (To meet this standard, the employee must meet all of the following requirements.)
	 Quality:
	 ▪ Written products generally follow plain English principles, including logical organization, descriptive section headings, simple terms, and good use of tables, lists, graphics, and white space.
	 ▪ Assigned presentations and workshops are generally well-organized with a logical flow, a use of simple terms, and graphics that illustrate concepts to help audience understanding. The overall audience rating of any presentation given is at least acceptable.
	 ▪ Products usually reflect sound analytical thinking and present recommendations consistent with sound HR principles and supportive of Administration initiatives.
	 Quantity:
	 ▪ Produces (or does significant work for)
	   a) at least one major product (e.g., a workshop; a complex paper or report, often over 10 pages long)
	   b) at least three intermediate-in-scope products (e.g., topic papers 3-10 pages long)
	   c) at least five minor products (e.g., articles or 1-2 page papers)
	   d) a combination of these.
	 (To meet the definition of "produces," the report or paper at least must be cleared by the Division Chief.)
	 Timeliness:
	 ▪ Draft written products are usually completed and submitted for review by the date agreed to at initial assignment. Revisions are usually done and returned within the agreed-upon time frame.
	
	 Outstanding Standard:
	 ▪ Produces more than two major products, more than five intermediate-in-scope products, more than eight minor products, OR a combination of these.
	 ▪ Exceeds the quality and timeliness criteria.
	 ▪ Plus meets at least three of the following:
	   a) On own initiative, proposes the subject of the product.
	   b) Completes extensive research to complete the product.
	   c) Develops applicable, understandable models and examples.
	   d) Synthesizes complex issues and condenses and explains them so that they are understandable to a general audience.
	   e) Product content provides leadership in the program, fits the HR policy into the big picture of management, links HR policy to organizational goals, and/or highlights the links of HR policy with other management functions.
	   f) Develops original understandable graphics that illustrate the concept being presented.
	
	 Minimally Successful Standard: The employee accomplishes the work described at the _Fully Successful_ level except that intermediate and minor products of a routine nature are produced with moderate but not excessive rework.

NOTE: We have purposely listed the _Minimally Successful_ standard last to emphasize performance that is _Fully Successful_ and higher more than performance that is less than _Fully Successful._

*_Exceeds Fully Successful_ falls between the performance described for _Fully Successful_ and that described for _Outstanding_.

Activity 4-3: Writing Your Own Performance Standards

Activity 4-3	Notes:

Activity 4-3

- Directions
  - Work individually to write critical elements and performance standards for at least one of the persons you supervise. Apply the principles used in Activities 4-1 and 4-2.

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Activity 4-3: Writing Your Own Performance Standards

Directions:

Work individually to write critical elements and performance standards for at least one of the persons you supervise. Apply the principles used in Activities 4-1 and 4-2.

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Writing Performance Standards Worksheet

HUD Strategic Goal:

Critical Element Description:

Fully Successful Performance Standards

Outstanding Performance Standards

Unacceptable Performance Standards

Lesson 5: Communicating Expectations to Employees

Communicating Expectations

- Discuss and *reach mutual understanding* on the employee's contribution/ performance and desired outcomes/results for the coming year

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Notes:

Job Aid
Tips on Communicating Expectations

Consider the following guidelines for communicating expectations to employees:

▶ Involve employees in the performance plan process as much as you can to provide more communication opportunities.

▶ Be clear and concise when describing how you want work to be done.

▶ Check for understanding; ask questions, and get them to restate objectives, work steps, and standards.

▶ Listen; remember that two-way communication is the best; take notes if it seems helpful.

▶ Be as positive as you can about your expectations for their ability to do the work.

▶ Communicate your high expectations through tone of voice, facial expression, and other non-verbals.

▶ Communicate your high expectations verbally -- don't be afraid to say, "I'm confident you can do this."

▶ Check to be sure that past experience isn't having too great an influence on your expectations.

▶ Separate differences between values and performance.

▶ Avoid setting up a self-fulfilling prophecy (especially with low performance) which results in over or under expectations.

▶ If there is a disagreement between you and the employee about performance standards, work together to try to establish expectations you can agree upon. If the difference of opinions cannot be resolved, you may need to elevate the case to the next level and/or consult with the Agency's Performance Management Policy Staff to achieve resolution.