

EPPEs - Performance Appraisal (Non-Supervisory)

U.S. Department of Housing
and Urban Development

Employee Name:	Employee's SSN:	Organizational Segment:	Organization Code:
		CPD, PM, PROGRAM MGMT TEAM 1	8300010478
Position Title:	Series and Grade:	Date of Appraisal Period:	Date Rating Made:
Community Plng & Dvlpmnt Rrepr	GS/0301/12	From 01-OCT-2006 To 30-SEP-2007	

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

Rating Official (Signature & Date):	Employee (Signature & Date):
x	x
Reviewing Official (Signature & Date):	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 progress review meeting was held. They do not indicate agreement or disagreement with the results.
x	

Element Ratings:

Element No.	Outstanding	Excellent	Fully Successful	Minimally Satisfactory	Unsatisfactory	Date	Supervisor's initials	Employee's initials
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		FS	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Summary Ratings

Outstanding
 Excellent
 Fully Successful
 Minimally Satisfactory
 Unsatisfactory

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, or unfairness to any individual on whom the information is maintained.

Elements & Standards

U.S. Department of Housing
and Urban Development

Date Assigned: 18-JAN-2007	Reviewing Official's Initials:	Supervisor's initials: FS	Employee's initials:	Rating Date:	Rating:	Element No.: 1
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Critical Element Description:
Embrace High Standards of Ethics, Management and Accountability through assessing risk and monitoring for compliance

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

Outstanding Performance Standards:

In addition to the standards for fully successful, the employee meets 5 or more of the following criteria.

- 1) Monitoring strategies are completed 15 days before monitoring event
- 2) 85% of monitoring reports (with support documentation) are submitted for review within 40 days of the close of the monitoring to allow time for corrections and additional information.
- 3) 85% of grantee monitoring letters are completed and forwarded to grantee(s) within 45 days of the close of the monitoring event or contributes to the division's goal of completing 85% of grantee monitoring letters within 45 days of the close of the monitoring event. Monitoring letters are prepared in accordance with CPD policies and are technically accurate and identify correct program guidelines or regulations and returned on an average of no more than one time for revisions.
- 4) Participates on monitoring team visit and provides the lead reviewer with monitoring conclusions and supporting documentation within 30 days of the close of monitoring.
- 5) Seventy-five percent of prior year monitoring and audit findings and sanctions are closed out by 9/30/07 and documented in GMP and program files or contributes to the division's goal of closing out 75% of prior year monitoring and audit findings by 9/30/07.
- 6) Written inquiries from grantees and/or customers are answered within 10 business days of receipt 85% of the time.
- 7) Responds to 85% of hotline complaints and congressional correspondence within established deadlines.
- 8) 85% of GMP entries for review and processing actions are input into the system within 10 days of completion of the work product.

Fully Successful Performance Standards:

Performance consistently meets the following criteria:

- 1) Monitoring strategies are prepared 7 days before the monitoring event
- 2) 75% of monitoring reports (with support documentation) are submitted for review within 40 days of the close of the monitoring to allow time for corrections and additional information.
- 3) 75% of grantee monitoring letters are completed and forwarded to grantee(s) within 45 days of the close of the monitoring event or contributes to the division's goal of completing 75% of grantee monitoring letters within 45 days of the close of the monitoring event. Monitoring letters are prepared in accordance with CPD policies and accurately reflect program requirements.
- 4) Participates on monitoring team visit and provides the lead reviewer with monitoring conclusions and supporting documentation within 35 days of the close of monitoring.
- 5) Sixty percent of prior year monitoring and audit findings and sanctions are closed out by 9/30/07 and documented in GMP and program files or contributes to the division's goal of closing out 60% of prior year monitoring and audit findings by 9/30/07.
- 6) Grantee monitoring visit and technical assistance visit are completed prior to the end of the fiscal year.
- 7) Written inquiries from grantees and/or customers are answered within 10 business days of receipt 70% of the time.
- 8) Responds to 75% of hotline complaints and congressional correspondence within established deadlines.
- 9) 70% of GMP entries for review and processing actions are input into the system within 10 days of completion of the work product.

Unacceptable Performance Standards:

Performance meets two or more of the following criteria:

- 1) Monitoring strategies are not prepared prior to monitoring.
- 2) Assigned monitoring is not completed on schedule.
- 3) Monitoring letters are not completed and mailed within 60 days except with express concurrence from CPD director.
- 4) Monitoring letters submitted for signature are inaccurate, not prepared in accordance with Departmental policies or are poorly documented.
- 5) Written inquiries from grantees and other customers are not answered within 10 days of receipt over 70% of the time.
- 6) Hotline complaints and/or congressional correspondence are not answered consistent with established deadlines.
- 7) Fails to enter information into GMP upon completion of the work products

Elements & Standards

U.S. Department of Housing
and Urban Development

Date Assigned: 18-JAN-2007	Reviewing Officials Initials:	Supervisor's initials: FS	Employee Initials:	Rating Date:	Rating:	Element No.: 2
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Critical Element Description:
Promote Decent Affordable Housing through expanding access to affordable rental housing

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

Outstanding Performance Standards:

Exceeds the Fully Successful standard and must include 3 of the following:

- 1) Completes reviews of applications from Continuum of Care applicants at least 10 working days prior to the deadline established by Headquarters.
- 2) Completes reviews of all assigned technical submissions within 20 working days of receipt and prepares award letter within 2 working days of technical submission approval.
- 3) Diagnoses, prescribes, and delivers TA to at least one CoC or HOME PJ designed to improve its long-term strategies to expand the supply of decent affordable rental housing.
- 4) Analysis of PJ performance identifies factors leading to significant accomplishments or deficiencies. Assistance is provided to grantees to enhance or improve affordable housing opportunities. Significant results are shared with management and communicated to the grantee.
- 5) Represents the Department and CPD and makes one presentation at one conference or meeting to educate underserved communities on HUD resources that can assist in the development of affordable housing or expanding homeownership opportunities. Evaluations indicate that presentation rates above average.
- 6) Increases homeownership opportunities by achieving at least a 50% reduction in the number of HOME open activities with 100% of funds disbursed and reporting no completion data in IDIS for projects/activities at the end of FFY 2006.

Fully Successful Performance Standards:

Performance consistently meets the following:

- 1) Completes reviews of applications from Continuum of Care applicants at least 5 days before the deadline established by Headquarters.
- 2) Completes reviews of technical submissions within 25 working days of receipt and prepares award letters within 5 working days of approval of technical submission.
- 3) Provides TA to increase involvement of external partners in the promotion, development, or implementation of CPD funded programs designed to increase affordable housing opportunities.
- 4) Develops effective working relationships with local governments, grantees, and other partners.
- 5) Communicates a consistent message to the public and grantees in promoting and carrying out CPD programs that foster affordable housing opportunities.
- 6) Increases homeownership opportunities by achieving at least a 25% reduction in the number of HOME open activities with 100% of funds disbursed and reporting no completion data in IDIS for projects/activities at the end of FFY 2006.

Unacceptable Performance Standards:

Performance is indicated by two or more of the following criteria:

- 1) Submits reviews of Continuum of Care applications that are incomplete or late relative to the deadline provided by HQ.
- 2) Delays the reviews of two or more technical submissions, taking more than the 25 days allowed without written approval of your supervisor.
- 3) Delays the preparation of two or more award letters more than 5 working days after technical submission approval without written approval of your supervisor.
- 4) Fails to notify management of delays in the distribution of grant agreements/award letters, Consolidated Plans/CAPERs receipt, technical submission review completion, the preparation of award letters, or other critical deadlines.
- 5) Fails to qualify and/or re-qualify HOME Consortia and/or Urban Counties within timeframes established by HUD HQ.
- 6) Fails to increase homeownership opportunities by achieving less than 25% reduction in the number of HOME open activities with 100% of funds disbursed and reporting no completion data in IDIS for projects/activities at the end of FFY 2006.

Elements & Standards

U.S. Department of Housing
and Urban Development

Data Assigned: 18-JAN-2007	Reviewing Official's Initials:	Supervisor's Initials: FS	Employee's Initials:	Rating Date:	Rating:	Element No.: 3
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Critical Element Description:
Strengthen Communities through managing a grant portfolio for assigned grantees

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

Outstanding Performance Standards:

In addition to the standards for fully successful, the employee consistently meets 6 or more of the following:

1) Completes risk analysis process for 100% of active grantees using the methodology set forth by Headquarters (HQ), identifying grantees for monitoring prior to the deadline established by headquarters.

For Managing Assigned Formula Grantees

2) Develops and executes an assistance plan for one grantee to target resources that will meet the community's housing and economic development needs.

3) 85% of Con Plans and Annual Action Plans are reviewed within 30 days of receipt or contributes to the division's goal of reviewing 85% of Con Plans and Annual Action Plans within 45 days of receipt.

4) 85% of CAPERs are processed to completion and assessment communicated to grantee within 60 days of receipt or contributes to the division's goal of reviewing 85% of CAPERs and communicating assessment to grantee within 60 days of receipt.

5) Grants are managed and documents reviewed for completeness, technical accuracy and regulatory compliance. Reviews and recommendations are completed, documented and provided to the supervisor for final disposition. Supervisor returns the completed product less than 10% of the time for substantive revisions.

6) Grant activities are documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate at least 85% of the time.

7) 90% of grantees administering CDBG, HOME, ESG or HOPWA programs meet the timely commitment or disbursement standard in fiscal year 2007. Demonstrates record of consistent and timely communication with poor performing CDBG, HOPWA, ESG or HOME grantees.

8) Ensures that at least 85% of formula grantees have a complete performance assessment (ACA) and an End-of-Year Letter sent by 9/30/07, or contributes to the division's goal of ensuring that at least 85% of formula grantees have a complete performance assessment (ACA) and an End-of-Year Letter sent by 9/30/07.

For Managing Assigned Competitive Grantees

9) Develops and executes an assistance plan for one grantee to target resources that will meet the grantee's needs and/or needs of the population it serves.

10) 85% of assigned conditional homeless awards to include the processing of technical submissions are completed and finalized via an executed grant agreement by September 30, 2007.

11) 85% of Annual Performance Reports are processed no later than 60 days from date of receipt to HUD.

Fully Successful Performance Standards:

Performance consistently meets the following:

1) Completes risk analysis process for 100% of active grantees using the methodology set forth by Headquarters (HQ), identifying grantees for monitoring by the deadline established by headquarters.

For Managing Assigned Formula Grantees

2) 75% of Con Plans and Annual Action Plans are reviewed within 30 days of receipt or contributes to the division's goal of reviewing 65% of Con Plans and Annual Action Plans within 45 days of receipt.

3) 75% of CAPERs are processed to completion and assessment communicated to grantee within 60 days of receipt or contributes to the division's goal of reviewing 65% of CAPERs and communicating assessment to grantee within 60 days of receipt. Grants are managed and documents reviewed for completeness, technical accuracy and regulatory compliance.

Reviews and recommendations are completed, documented and provided to the supervisor for final disposition. Supervisor returns the completed product less than 25% of the time for substantive revisions.

4) Grant activities are documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate at least 75% of the time.

5) Manages assigned workload in accordance with Department policies and CPD's Grant Management System, and keeps supervisor informed of major issues and identifies potential delays prior to becoming critical.

6) 80% of grantees administering CDBG, HOME, ESG or HOPWA programs meet the timely commitment or disbursement standard in fiscal year 2007. Demonstrates record of consistent and timely communication with poor performing CDBG, HOPWA, ESG or HOME grantees.

7) Ensures that at least 75% of formula grantees have a complete performance assessment (ACA) and an End-of-Year Letter sent by 9/30/07, or contributes to the division's goal of ensuring that at least 75% of formula grantees have a complete performance assessment (ACA) and an End-of-Year Letter sent by 9/30/07.

For Managing Assigned Competitive Grantees

8) 75% of assigned conditional homeless awards to include the processing of technical submissions are completed and finalized via an executed grant agreement by September 30, 2007.

9) 75% of Annual Performance Reports are processed no later than 90 days from date of receipt to HUD.

Unacceptable Performance Standards:

Performance is indicated by two or more of the following criteria:

1) Completes risk analysis process for less than 75% of active grantees using the methodology set forth by Headquarters (HQ), identifying grantees for monitoring.

For Managing Assigned Formula Grantees

2) Less than 80% of Con Plans and Annual Action Plans are reviewed within 30 days of receipt.

3) Less than 60% of CAPERs are processed to completion and assessment communicated to grantee within 60 days of receipt.

receipt.

- 4) Grants are managed and documents reviewed for completeness, technical accuracy and regulatory compliance. Reviews and recommendations are completed, documented and provided to the supervisor for final disposition. Supervisor returns the completed product more than 50% of the time for substantive revisions.
- 5) Less than 70% of grantees administering COBG, HOME, ESG or HOPWA programs meet the timely commitment or disbursement standard in fiscal year 2007. Does not demonstrate record of consistent and timely communication with poor performing COBG, HOPWA, ESG or HOME grantees.
- 6) Less than 80% of formula grantees have a complete performance assessment (ACA) and an End-of-Year Letter sent by 9/30/07.

For Managing Assigned Competitive Grantees

- 7) Less than 80% of assigned Grant applications rating reviews, as a result of SuperNOFA, are completed in accordance with processing deadlines identified in instructions from HQ.
 - 8) Less than 80% of assigned conditional homeless awards to include the processing of technical submissions are completed and finalized via an executed grant agreement by September 30, 2007.
 - 9) 45% or more of Annual Performance Reports are processed more than 120 days from date of receipt to HUD.
 - 10) Grants are managed and documents reviewed for completeness, technical accuracy and regulatory compliance. Reviews and recommendations are completed, documented and provided to the supervisor for final disposition. Supervisor returns the completed product more than 50% of the time for substantive revisions.
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Elements & Standards

U.S. Department of Housing
and Urban Development

Date Assigned: 14-JAN-2007	Reviewing Officials Initials:	Supervisor's Initials: FS	Employee Initials:	Rating Date:	Rating:	Element No.: 4
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Critical Element Description:
Strengthening Communities through delivering technical assistance

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

Outstanding Performance Standards:

In addition to the fully successful must complete the following and 2 additional requirements. To achieve a highly successful rating complete only the following:

1) Through the review and evaluation of grantee submissions, data reports, monitoring reports, HUD systems and other sources:

- a) identifies technical assistance needs and
- b) utilizes the most effective source for technical assistance, such as HUD staff, TA provider or other source
- c) completed within allocated budget and
- d) negative feedback is received less than 10% of the time.

Additional Requirements

2) Participates in the planning and execution of at least one grantee training on mitigating lead hazard in CPD assisted homeownership and housing rehabilitation programs

3) Works with potential grantees in the identification and utilization of HUD programs that may assist the grantee and have a positive impact on those served or results in an increase in the number of applications submitted for one or more competitive programs.

4) Participates in one or more activities to resolve barriers to the participation by faith based and community organizations in gaining access to funds.

5) Completes reviews of applications from Technical Assistance applicants prior to the deadline established by Headquarters

6) Participate in an activity that assists grantees to develop strategies to meet local community development needs such as: creation of additional NRSAs, addressing chronic homeless housing needs, mitigating lead hazard in CPD assisted homeownership and housing rehabilitation program, participation of Faith-based and Community Organizations in CPD funded programs, and promoting Energy Star in CPD assisted housing activities.

Fully Successful Performance Standards:

Technical assistance is delivered to promote, develop, assess and evaluate CPD programs

1) Through the review and evaluation of grantee submissions, data reports, monitoring reports, HUD systems and other sources:

- a) identifies technical assistance needs and
- b) utilizes the most effective source for technical assistance, such as HUD staff, TA provider or other
- c) completed within allocated budget

2) Reviews data/reports at least quarterly and identifies formula and competitive grantees that are not in compliance with the commitment, reservations, and expenditure standards/requirements. Notification is provided to grantees and technical assistance needs are identified and delivered to work toward bringing the grantee into compliance.

3) Notify supervisor and requests any necessary changes to proposed technical assistance activities to be undertaken that require adjustment due to competing priorities or demand. Makes recommendations offering alternative course of action to balance technical assistance needs and meeting local management plan goals.

Unacceptable Performance Standards:

In carrying out assigned responsibilities:

1) Does not address technical assistance needs of grantees assigned or completes less than 50% of the technical assistance needs that are assigned and identified to be carried out in the local management plan.

Elements & Standards

U.S. Department of Housing
and Urban Development

Date Assigned: 18-JAN-2007	Reviewing Officials Initials:	Supervisor's Initials: FS	Employee's Initials:	Rating Date:	Rating:	Element No.: 5
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Critical Element Description:

Represents the Department and its community development programs to a variety of customers which includes but is not limited to grantees, the public and other government personnel.

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

Outstanding Performance Standards:

In addition to the standards for fully successful, the employee consistently meets 5 or more of the following requirements:

- 1) Leads or conducts a minimum of two (2) workshops/meetings that achieve satisfactory evaluation results.
- 2) On own initiative, identifies and undertakes at least two (2) special projects or representation opportunities that delivers resources to CPD customers.
- 3) Coordinates and presents at least one (1) training session that is well designed, stimulates thought, encourages input and is well prepared.
- 4) Execute at least one (1) intervention to improve grantee capacity or performance in addressing affordability, accessibility, or sustainability of affordable housing in local communities.
- 5) If invited by a CPD grantee or requested by a CPD manager the CPD Representative willingly represents CPD in a formal settings such as groundbreaking and job-employment training graduations of clients.
- 6) Contributes to the reporting requirements of the Division a minimum of 6 reports per year.
- 7) In-house division and team meetings are attended at least 90% of the time unless excused by supervisor.
- 8) Represents the Department at meetings, conference calls, or other contacts with grantees as identified in the workplan or as requested by supervisor.
- 9) Written products demonstrate exceptional insight into subject matter and re-writes are required no more than 10% of the time

Fully Successful Performance Standards:

Consistently meets the following requirements:

- 1) Leads or conducts a minimum of one workshops/meetings that achieve satisfactory evaluation results.
- 2) On own initiative, identifies and undertakes at least one (1) special project or representation opportunity that the delivers resources to CPD customers.
- 3) Contributes to the reporting requirements of the Division a minimum of 3 reports per year.
- 4) In-house division and team meetings are attended at least 75% of the time unless excused by supervisor.
- 5) CPD work products demonstrate knowledge of relevant CPD programs and policies 70% of the time

Unacceptable Performance Standards:

Performance is indicated by two or more of the following criteria:

- 1) Fails to lead or conduct a workshops/meetings or evaluations are less than satisfactory.
- 2) Fails to contribute to the reporting requirements of the Division.
- 3) In-house division and team meetings are attended less than 50% of the time.
- 4) Representation of CPD and the Department results in supervisor receiving five (5) or more unrelated negative feedback reports.
- 5) Unwilling to conduct training or conducts training that is unclear, inaccurate, and poorly organized 80% of the time.
- 6) CPD work products demonstrate a lack of knowledge of relevant CPD programs and policies 30% or more of the time
- 7) More than 30% of CPD Program guidance is inaccurate and requires clarification by supervisor.