

# PACS - Performance Appraisal (Supervisory)

U.S. Department of Housing and Urban Development

Employee Name: Anderson, Mikel K	Employee's SSN: XXX-XX-6520	Organizational Segment: OC, OFFICE OF COUNSEL	Organization Code: 8300010307
Position Title: Supvy Atty Advsr Gen	Series and Grade: GS/0905/14	Date of Appraisal Period: From 01-OCT-2007 To 30-SEP-2008	Date Rating Made:

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

Rating Official (Signature & Date)  x ,	Employee (Signature & Date)  x ,
Reviewing Official (Signature & Date)  x	<b>Note:</b> Employee signature indicates only that the rating has been discussed with the employee and does not signify agreement or disagreement with the rating.

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

Critical Element No.	Outstanding	Excellent	Fully Successful	Minimally Satisfactory	Unsatisfactory	Critical Element No.	Outstanding	Excellent	Fully Successful	Minimally Satisfactory	Unsatisfactory
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	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"/>	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	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"/>	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"/>	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"/>	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"/>	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"/>	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"/>	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"/>	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 to 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:	Reviewing Officials Initials:	Supervisors initials:	Employees Initials:	Rating Date:	Rating:	Element No.: 1
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## Critical Element Description:

Critical Element: The employee works with the Field Office Director, Field Office Program Directors and, where applicable, Hub Directors to accomplish Secretarial Initiatives; provides timely, responsive, and effective legal support toward the achievement of Management Plan goals; complies with the Field Policy and Management operating protocols and related delegations/re-delegations of authority; and ensures that all reports, briefing papers, and controlled correspondence are prepared and submitted timely and accurately.

**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:

Absent exigent circumstances, the employee:

- a. Takes the initiative to solicit from Regional Counsel, Field Office Director, and Program Directors what support, if any, is needed from the Office of Counsel to assist them in the achievement of the Management Plan goals and follows through by providing the needed support.
- b. Promotes Secretarial Initiatives through participation in the Management Plan and cooperation with the Regional Counsel, Field Office Director, Field Office Program Directors, and, where applicable, Hub Directors in support of Management Plan goals. Personally attends and actively participates, to the fullest extent possible, in local management team meetings subject to approved absences.
- c. Where requested by the Field Office Director or other appropriate Program Director, with no less than one (1) exceptions, prepares the legal component of Hot Issues reports and briefing papers and other needed reports by the requested deadline.
- d. Upon request and to the extent practicable, shares resources including information and materials, demonstrating strong support for and active participation in a unified effort to achieve Secretarial Initiatives and Management Plan goals. As requested, provides timely and accurate input for the annual preparation of Management Plan. Absent documented mitigating conditions, with no less than three (3) exceptions, applicable Office of Counsel Management Plan goals are achieved within the time period articulated in the Regional Management Plan.
- e. Assists in the resolution of crosscutting administrative and program issues and promotes cooperation and productive relationships between affected individuals and groups. Demonstrates exceptional oral and/or written communication skills while assisting in the resolution of applicable administrative and program management issues. With no more than one (1) exception, promptly notifies Field Office Director, or the appropriate Program Director of major legal actions affecting HUD, its customers or clients within the jurisdiction unless statute, rule or regulation prohibits disclosure.
- f. Records withheld pursuant to FOIA exceptions are reviewed in accordance with Departmental policy. Proactively provides at least one (1) FOIA training during the rating cycle. Provides FOIA legal advice to the Field Office Director and program offices.
- g. Subject to the availability of resources, demonstrates initiative in identifying, developing and implementing cross-program training on legal issues. Provides at least three (3) cross-program trainings per rating cycle for Field Office staff.

## Fully Successful Performance Standards:

Absent exigent or excused circumstances, the employee:

- a. Promotes Secretarial Initiatives through participation in the Management Plan and cooperates with the Regional Counsel, Field Office Director and Field Office Program Directors in support of local/programmatic goals. Personally attends local management team meetings.

- b. Complies with Field Policy and Management operating protocols and related delegations/re-delegations of authority with no more than one (1) exception during the rating cycle.
- c. Where requested by the Field Office Director or appropriate Program Director, with no more than three (3) exceptions prepares the legal component of Hot Issues reports and briefing papers and other needed reports by the requested deadline.
- d. Records withheld pursuant to FOIA exceptions are reviewed in accordance with Departmental policy.
- e. Assists in the resolution of crosscutting administrative and program issues and promotes cooperation and productive relationships between affected individuals and groups. With no more than three (3) exceptions, promptly notifies the Field Office Director or Program Director of major legal actions affecting HUD, its customers or clients within the jurisdiction unless statute, rule or regulation prohibits disclosure.
- f. Subject to the availability of resources, provides at least one (1) cross-program training per rating cycle.

**Unacceptable Performance Standards:**

Absent exigent circumstances or excused circumstances, the employee:

- a. Fails to promote Secretarial Initiatives by not cooperating with the Regional Counsel, Field Office Director and Program Directors in support of local/programmatic goals. In more than five (5) instances, the Chief Counsel does not personally attend or participate in local management team meetings and does not send an authorized designee.
- b. Fails to comply with Field Policy and Management operating protocols and related delegations/re-delegations of authority in three (3) or more instances.
- c. As requested by the Field Office Director or appropriate Program Director, fails to prepare the legal component of Hot Issues reports, briefing papers, and other needed reports in five (5) or more instances.
- d. Records withheld pursuant to FOIA exceptions are not reviewed in accordance with Departmental policy in five (5) or more instances.
- e. In more than five (5) instances, does not assist the resolution of crosscutting administrative and program issues, as requested by the Field Office Director. In more than five (5) instances, failed to notify the Field Office Director or appropriate Program Director of major legal actions affecting HUD, its customers or clients within the jurisdiction unless statute, rule or regulation prohibits disclosure.

# Elements & Standards

U.S. Department of Housing  
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Date Assigned:	Reviewing Officials Initials:	Supervisors initials:	Employees Initials:	Rating Date:	Rating:	Element No.: 2
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## Critical Element Description:

Critical Element Description: Furthers the Secretarial Initiatives and the Departmental Management Plan by the effective management of human, technological and financial resources within a positive work environment.

**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 meeting the requirements for Fully Successful Performance, the Chief Counsel ensures that:

- a. On at least three (3) occasions during the rating period, management, strategic, and performance plan goals are enhanced by representing the Department in public forums; providing training and outreach to internal and external partners; serving on OGC or Departmental committees and taskforces; or identifying critical legal or administrative issues and initiating policies and procedures that seek to resolve such issues.
- b. The office participates in job fairs or on-campus information interviews on at least two (2) occasions during the rating period.
- c. The objectives of the OGC mentoring program are met; appropriate mentor/mentee matches for newly hired employees and newly appointed managers are made. The employee volunteers to be a mentor in the OGC Mentors Program.
- d. On at least three (3) occasions during the rating period, steps are taken to ensure that the office knowledge base is maintained by creating internal opportunities for cross-training.
- e. The office knowledge base is preserved by maintaining comprehensive, updated, and retrievable subject matter files for the office.

## Fully Successful Performance Standards:

Absent exigent circumstances, the Chief Counsel ensures that:

- a. Priorities and expectations are communicated to subordinate employees. The Regional Counsel is fully informed of issues that may impact Departmental policies or operations in all but three (3) instances relating to matters of high priority.
- b. The provision of timely, accurate legal support that furthers the achievement of management, strategic and annual performance plan goals and furthers program compliance with legal requirements. This work exhibits an understanding and support for organizational objectives and, with no more than three (3) verified exceptions, is complete, thorough and complies with established policies and procedures.
- c. With no more than five (5) verified exceptions, administrative functions are handled in compliance with outstanding Departmental policies and procedures, including but not limited to, training, travel, technology use, personnel supervision and succession planning.
- d. With no more than three (3) verified exceptions, effective working relationships are maintained with internal and external partners, including where applicable, but not limited to, Departmental clients, Housing Opportunity Centers, Special Applications Center, Financial Operations Center, Office of Inspector General and the Department of Justice.

## Unacceptable Performance Standards:

Absent exigent circumstances,

- a. The Chief Counsel fails to effectively lead his/her jurisdiction by not communicating priorities and expectations to subordinate employees, keeping supervisors informed of issues that may impact significant Departmental policies or operations or maintaining effective

working relationships with all internal and external partners.

b. The Chief Counsel fails to ensure compliance with significant administrative policies and procedures, including but not limited to, training, travel, technology use and personnel supervision.

# Elements & Standards

U.S. Department of Housing  
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Date Assigned:	Reviewing Officials Initials:	Supervisors initials:	Employees Initials:	Rating Date:	Rating:	Element No.: 3
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Critical Element Description:

Critical Element Description: Furthers Department human resource objectives.

**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 meeting the requirements for Fully Successful Performance at the 95% or higher level, the employee ensures that:

- a. Meaningful distinctions are made in levels of performance of his/her subordinate employees.
- b. Subordinate employees are realistically appraised against clear, measurable standards or performance.
- c. Performance results are used to make decisions on awards, pay, training/ developmental needs and to address poor performance.
- d. Performance of subordinate employees is monitored and discussed with them on an ongoing basis.
- e. Subordinate employees' perspectives are taken into account and they are encouraged to develop creative and effective ways to successfully accomplish organization/agency's mission.

## Fully Successful Performance Standards:

Absent exigent circumstances, the employee ensures that:

- a. Meaningful dialogue is fostered with subordinate employees regarding individual and organizational goals to improve the subordinate employees' understanding of these goals and enhance performance.
- b. At least 90% of performance plans of all subordinate employees are aligned to the agency's mission/organizational goals and subordinate employees are focused on achieving specific measurable results.
- c. Performance plans are communicated to at least 90% of subordinate employees.
- d. At least one formal progress review is conducted during the appraisal cycle, and final performance appraisal ratings are issued to his or her subordinate employees in accordance with established timeframes.
- e. Continuous training and development of subordinate employees are promoted and Individual Training Action Plans (ITAPs) are in place for at least 90% of subordinate employees.

## Unacceptable Performance Standards:

Absent exigent circumstances, the employee fails to ensure that:

- a. Performance plans are communicated to 50% or more of his or her subordinate employees.
- b. One formal progress review during the rating cycle is conducted for 50% or more of his or her subordinate employees.
- c. Final performance appraisal ratings are issued within two weeks after the established timeframe.
- d. ITAPS are in place for 50% or more of subordinate employees.

# Elements & Standards

U.S. Department of Housing  
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Date Assigned:	Reviewing Officials Initials:	Supervisors initials:	Employees Initials:	Rating Date:	Rating:	Element No.: 4
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**Critical Element Description:**

Critical Element Description: Legal advice, counsel, and representation to clients that is prompt, thorough, organized, persuasive, and professional.

**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 meeting the requirements for Fully Successful Performance, the Chief Counsel produces, on own initiative or through supervision of staff attorneys and support staff, one or more of the following standards, in ten (10) or more instances cumulatively:

- a. Legal advice and related work products that reflect recognition of potential issues for HUD, useful legal research, and analysis that can assist the client in addressing these potential issues.
- b. Legal advice and related work products that reflect recognition of potential ramifications of a particular issue for other program areas and that the employee proactively brings to the attention of other program areas to seek their input and assistance.
- c. Legal advice and related work products that construct novel legal arguments to assist the client in meeting HUD policy goals.
- d. Legal advice and related work products that reflect identification of non-obvious factual and legal arguments and strategies which improve the government's position in a given situation.
- e. Proposals for statutory, regulatory, or policy improvements.
- f. Initiative taken by the employee in advancing HUD's interests with U.S. Attorneys.
- g. Proposals for improvements to policies and procedures of the office or to the processing of issues or cases by program offices.
- h. Significant assistance to other attorneys in the conduct of their work
- i. Oral and written work that reflects a willingness to take novel approaches to providing advice to a program client (e.g., availability in client's offices to meet and provide informal legal counsel and advice).

In addition to the foregoing, the Chief Counsel, ensures that the scheduling of closings and closing workflow is coordinated in consultation with Multifamily staff, including holding (at a minimum) quarterly meetings and takes affirmative steps to help the Office of Housing meet its closing management plan goals.

**Fully Successful Performance Standards:**

Absent exigent circumstances, with no more than three (3) exceptions\* cumulatively (none of which impacts the outcome of a case), the Chief Counsel produces, on own initiative or through supervision of staff attorneys and support staff, the following measures within time-frames established by the Regional Counsel or relevant legal authority:

- a. Legal advice and related work products that are accurate, well supported by the relevant fact and law, appropriate in breadth and scope, effective for the audience, persuasive, practical, and constructive. In the case of significant issues or proposed settlement, timely input of client, Regional Counsel, and interested parties is obtained.
- b. Adherence to operating protocols between the Office of General Counsel and other HUD program offices as well as an adherence to Office of General Counsel instructions.

c. Absent exigent circumstances, with no other exceptions, Section 202/811 capital advance grant and insured multifamily loan closings that are completed within sixty (60) days of the Department's issuance of the firm commitment for a given project, unless the firm commitment for that capital advance grant or insured loan is extended by the Department. The closing also meets other HUD requirements.

\* The exceptions do not apply to court deadlines or statutory deadlines, which must be met in all instances, unless the attorney timely obtains permission to extend the deadline, or the meeting the deadline is outside the control of the attorney, as determined by the supervisor.

**Unacceptable Performance Standards:**

Absent exigent circumstances, in five (5) or more instances cumulatively, or in one or more instance which adversely impacts the outcome of a case, the Chief Counsel, on own initiative or through supervision of staff attorneys and support staff, does not meet the following measures within time-frames established by the office or relevant legal authority:

a. Legal advice and related work products that are accurate, well supported by the relevant fact and law, appropriate in breadth and scope, effective for the audience, persuasive, practical, and constructive. In the case of significant issues or proposed settlement, timely input of client, Regional Counsel, and interested parties is obtained.

b. Adherence to operating protocols between the Office of General Counsel and other HUD program offices as well as an adherence to Office of General Counsel instructions.

c. Section 202/811 capital advance grant and insured multifamily loan closings that are completed within sixty (60) days of the Department's issuance of the firm commitment for a given project, unless the firm commitment for that capital advance grant or insured loan is extended by the Department. The closing also meets other HUD requirements.



# Elements & Standards

U.S. Department of Housing  
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Date Assigned:	Reviewing Officials Initials:	Supervisors initials:	Employees Initials:	Rating Date:	Rating:	Element No.: 5
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## Critical Element Description:

Critical Element Description: Weekly reports are submitted in a timely manner. The workload tracking systems, Enterprise Tracking System and TEAPOTSR, are used by appropriate staff and the data is entered appropriately and reflects current workload. TEAM data entries are reviewed to ensure that the time reported by staff appropriately reflects the program activities entered in the workload tracking system for the reporting period. The submission of input for the interim and the final legal letters for the FHA annual audit and for the HUD consolidated financial statement is accurate and timely.

**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:

Absent exigent circumstances, in addition to meeting the requirements for Fully Successful Performance, the employee ensures that:

- a. Weekly reports to the General Counsel are submitted by the due date.
- b. Entries into workload tracking systems comply with existing guidance and protocols.
- c. Quarterly entries into TEAM appropriately reflect the work performed in the office during the reporting period as entered in the workload tracking system.
- d. Steps are taken that improve timeliness and accuracy in reporting, when required.

## Fully Successful Performance Standards:

Absent exigent circumstances, the employee ensures that:

- a. At least 30 weekly reports to the General Counsel are submitted by the due date.
- b. Entries into workload tracking systems are made.
- c. Quarterly entries into TEAM are made.
- d. Upon request, input for the interim and the final legal letters for the FHA annual audit and for the HUD consolidated financial statement is accurate and timely.

## Unacceptable Performance Standards:

- a. Less than 20 timely weekly reports are submitted to the General Counsel.
- b. In two (2) or more consecutive quarters, quarterly entries into TEAM do not accurately reflect the work performed in the office during the reporting period as entered in the workload tracking systems.
- c. Input for the interim and the final legal letters for the FHA annual audit and for the HUD consolidated financial statement is not timely or is inaccurate.
- d. Steps are not taken to improve timeliness and accuracy in reporting, when required.