

SMART Standards – PHRS

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.: 1
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Critical Element Description: Systems and Workload Management – Based on work assigned, maintains existing systems and develops new systems to assist public housing staff with the management of public housing programs. Manages the work required by public housing programs, participates in the Management Plan process, and assesses performance of clients.

GS-12: The employee serves as an expert about Public Housing Programs and will serve as an independent Team Leader for on-site reviews, audits and other reviews of the operations of housing agencies. Employee has comprehensive knowledge and skill in analytical and evaluative methods, and may be assigned a portfolio that includes large agencies, HOPE VI grants, and more than one troubled housing agency.

Outstanding Performance Standards:

In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

- Insure and maintain data integrity, as demonstrated by 98% of all required reviews completed by the Hub Office or Program Center are accurately maintained in the Comprehensive Compliance Monitoring system, or it is demonstrated that employee took appropriate action.
- Develop unique, innovative and effective system for use by the supervisor and staff to increase efficiency and effectiveness, e.g. development and analysis of ad-hoc PIC reports, energy performance tracking and analysis, analysis of the effectiveness of internal SOPs, utilization of QMR exemplary practices, detailed and targeted PHAS trending analysis, position papers on system or program deficiencies, identification of system and program vulnerabilities, etc.
- Models exemplary use of various systems into one report to permit staff to get a big picture look at complex issues.
- Possess an understanding of the implications of SEMAP/PHAS scores and takes proactive measures, quarterly, to create systems and reports that provide staff with additional tools for assessment of PHA performance.
- Demonstrate initiative in undertaking special assignments/projects and carries them out in an exemplary manner; e.g. initiates participation in User Acceptance Testing (UAT) of PIH HQs data systems.
- No more than one assignment per year miss established timeframes or require substantive changes by supervisor.

Fully Successful Performance Standards:

Performance at this level consistently meets the following standards:

- Insure and maintains data integrity, as demonstrated by 90% of all required reviews completed by the Hub Office or Program Center are accurately maintained in the Comprehensive Compliance Monitoring system, or it is demonstrated that employee took appropriate action.
- ~~Upon request, prepares reports~~, as demonstrated by 97% of reports prepared by established deadlines.
- ~~No more than one occasion per year~~ where monthly/quarterly management plan accomplishments or reporting is submitted or submitted late to the person responsible for the monthly management plan report.
- Prepare reports from analysis, research and systems maintenance that contribute to timely submissions by the PHA and timely processing by HUD.
- No more than three assignments per year miss established timeframes or require changes by supervisor because of inaccurate program information. Maintain a working knowledge of program regulations, policies and procedures for Office of Public Housing programs.

Unacceptable Performance Standards:

Performance at this level means that standards at the Fully Successful level were not met and:

- Fail to maintain accurate and adequate tracking systems.
- Fail to carry out special assignments, requiring other staff to assist.

- More than one occasion a supervisor issued a formal correction to an external client because incorrect program information was provided due to employee not possessing current program knowledge and not taking the initiative to update knowledge.
- More than three occasions per year where monthly/quarterly management plan accomplishments is not submitted or submitted late to the person responsible for the monthly management plan report.
- More than five assignments per year miss established timeframes, assigned to other staff, and / or require changes by supervisor because of inaccurate program information.

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Critical Element Description: Program and Workload Management: Based on work assigned, manages the program work required for assigned Office of Public Housing programs, Public Housing Agencies (PHAs), and projects; participates in the development and implementation of the Management Plan and work plan; assesses PHA performance and risk; and develops action plans.

GS-12: The employee serves as an expert about Public Housing Programs and will serve as an independent Team Leader for on-site reviews, audits and other reviews of the operations of housing agencies. Employee has comprehensive knowledge and skill in analytical and evaluative methods, and may be assigned a portfolio that includes large agencies, HOPE VI grants, and more than one troubled housing agency.

Outstanding Performance Standards: In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

- Complex problems are successfully prevented or resolved for at least 25% of all monitored PHA's when performance or compliance problems are identified.
- Unique, innovative and effective model or strategy for increasing program compliance and performance or responding to performance trends by both the office and the PHAs based on local conditions, area and national programs developed and implemented, e.g. the conduct and analysis of internal control assessments, analysis of the effectiveness of internal SOPs, utilization of QMR exemplary practices, detailed and targeted PHAS trending analysis, position papers on system, compliance, or program deficiencies, etc.
- No more than one assignment per year miss established timeframes or require substantive changes by supervisor because of inaccurate program information. Where needed, action taken by HUD, recommendations for improvement and required actions of the PHAs are clearly documented.

Fully Successful Performance Standards: Performance at this level consistently meets the following standards:

- Assigned monitoring and technical assistance visits, as determined by the management plan and risk assessment, are scheduled and completed.
- A well-organized internal control system that accurately tracks submission of required documents and tracks PHA reporting into data systems. Ensures PHAs comply with submission requirements, or it is demonstrated that the employee took appropriate action to obtain compliance.
- At least quarterly, an analysis of the information contained in reports, data systems, site visits, and complaints to identify potential problems and to assess current performance of PHAs. Management is informed of critical problems within five days of discovery along with proposed solution.
- Required program and work plan activities, including application processing, funding, audit reviews, plan reviews and other areas of program implementation, are accomplished in a manner that is consistent with existing program and office requirements and timeframes.
- No more than three assignments per year miss established timeframes or require changes by supervisor because of inaccurate program information.

Unacceptable Performance Standards: Performance at this level means that the standards at the Fully Successful level were not met and:

- More than two cases per quarter where a report or letter is returned before it is signed due to incorrect program information.
- More than one occasion a supervisor issued a formal correction to an external client because incorrect program information was provided due to employee not possessing current program knowledge and not taking the initiative to update knowledge.

- More than three occasions per year where monthly management plan accomplishments is not submitted or submitted late to the person responsible for the monthly management plan report.
 - More than five assignments per year miss established timeframes, assigned to other staff, and / or require changes by supervisor because of inaccurate program information.
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Critical Element Description: Communication/Customer Service: Based on work assigned, communicates both verbally and in writing to internal and external HUD customers in a courteous and professional manner and appropriately represents the Department when communicating the mission of HUD.

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Outstanding Performance Standards:

In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

- On own initiative, consistently takes a leadership role in addressing complex issues that result in resolution.
- Interprets and clearly states complicated program requirements correctly, handles sensitive issues persuasively, and/or addresses adverse comment tactfully.
- Takes actions to achieve significant quality improvements in office operations to better serve clients.
- As applicable, presentations are effective and public speaking opportunities address multiple and/or complicated topics. Feedback from participants consistently demonstrates that the topics were communicated clearly, with no more than one instance of not providing accurate program information, e.g. as documented by feedback from clients, peers, FOD, and/or other stakeholders.
- Final products that deal with sensitive issues are developed and require little or no substantive change by the supervisor, and which are returned for change no more than once during the rating period.
- At least one recommendation that increases customer service, efficiency, or effectiveness of office in communicating with clients or providing information tailored to improving compliance or performance of clients during the rating period results in significant quality improvements in office operations to better serve clients.
- Review reports prepared for signature within 25-30 days of the site visit.
- Consistently assumes a leadership role in coordinating, developing and implementing training for HUD clients that makes use of innovative, well designed and effective visual aids, handouts, hands on experiences, etc. Provides three or more training sessions to internal/external clients.

Fully Successful Performance Standards:

Performance at this level consistently meets the following standards:

- Communicates and coordinates effectively with HUD clients both internally and externally using all available methods including written correspondence, verbal correspondence and email.
- Writes material that displays a thorough knowledge of the program area and Departmental goals and uses correct grammar, appropriate style, etc. No more that 20% of products are returned by supervisor for non-substantive changes.
- Develops a final product that is logical, clear, complete, accurate and responsive to the affected parties, requiring few modifications by the supervisor.
- Responds by the due dates to requests from internal and external HUD clients, including Congressionals, FOIAs, Hot Line Complaints, etc. No more than 15% of responses are later than established due dates.
- Review reports prepared for signature within 30-45 days of the site visit and Corrective Action Plans/Improvement Plans instituted within 30 days of review report or in accordance with office policies and/or Departmental regulations.
- Assists in planning, developing and delivering technical assistance for HUD clients.

Unacceptable Performance Standards:

Performance at this level means that standards at the Fully Successful level were not met and:

- Fails to offer assistance to public housing agencies, the general public, and field office staff on matters related to public housing.
- Fails to develop a final product that is clear and complete and products consistently require substantial modification by the supervisor.
- Does not return phone calls and email messages at all, or in a timely manner.
- Does not respond by the due dates to requests from internal and external HUD clients, including Congressionals, FOIAs, Hot Line Complaints, etc. More than 65% of responses are later than established due dates.
- Review reports issued in excess of 75 days of the on-site activity.

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Strategic Goal: Increase Homeownership Opportunities

Strategic Objective: Expand national homeownership opportunities.

Management Plan/APP: Help HUD-assisted renters become homeowners.

Critical Element Description: Based on work assigned, increase homeownership opportunities through Section 8 and Public Housing programs by providing technical assistance, training, and guidance to PHAs.

GS-12: The employee serves as an expert about Public Housing Programs and will serve as an independent Team Leader for on-site reviews, audits and other reviews of the operations of housing agencies. Employee has comprehensive knowledge and skill in analytical and evaluative methods, and may be assigned a portfolio that includes large agencies, HOPE VI grants, and more than one troubled housing agency.

Outstanding Performance Standards: In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

Increase Homeownership Opportunities

- Promote Section 32 at one conference organized by local industry groups.
- Provide direct intervention to 90% of assigned PHAs that are not entering 50058 Homeownership data accurately.
- Participate in 1 Section 8 homeownership/self-sufficiency event to increase homeownership.

Fully Successful Performance Standards: Performance at this level consistently meets the following standards:

Increase Homeownership Opportunities –

- Participate in outreach and education efforts to promote HCV, FSS, MTW, HOPE VI and/or Section 32 homeownership programs.
- Provide direct intervention to 75% of assigned PHAs that are not entering 50058 Homeownership Data accurately.
- Assist with the development of a position paper on barriers/impediments to public housing homeownership and how to solve them.

Unacceptable Performance Standards: Performance at this level means that the standards at the Fully Successful level were not met and:

Increase Homeownership Opportunities

- Fails to participate in outreach and education efforts to promote Homeownership/self sufficiency.
- Fails to provide direct intervention to 65 % of assigned PHAs not entering 50058 homeownership data accurately.
- Fails to assist the office in the development of a position paper on barriers and impediments.

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Strategic Goal: Promote Decent Affordable Housing

Strategic Objective: Improve the management accountability and physical quality of public and assisted housing.

Management Plan/APP: Improve the share of units that meet HUD's established management and physical inspection standards.

Description: Based on work assigned, facilitate more effective delivery of affordable housing by reducing the number of units managed by troubled agencies and ensuring decent, safe, and sanitary housing for assisted families.

GS-12: The employee serves as an expert about Public Housing Programs and will serve as an independent Team Leader for on-site reviews, audits and other reviews of the operations of housing agencies. Employee has comprehensive knowledge and skill in analytical and evaluative methods, and may be assigned a portfolio that includes large agencies, HOPE VI grants, and more than one troubled housing agency.

Outstanding Performance Standards: In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

Promote Decent Affordable Housing –

- Provide one TA events for Section 8 program administrators to increase utilization rates.
- Provide direct TA to 90% of the largest assigned PHAs with the lowest PHAS scores to increase scores.
- Ensure reduction of units managed by Troubled PHAs by ensuring development/execution of MOAs for 95% of them within 5 months.
- Ensure reduction of units managed by Troubled HCV by CAPS for 95% of them within 5 months.
- Participate in one event to discuss CFFP.

Fully Successful Performance Standards: Performance at this level consistently meets the following standards:

Promote Decent Affordable Housing

- Largest assigned PHAs with lowest PHAS physical scores receive technical assistance to address deficiencies.
- For assigned PHAs, HOPE VI grants are on schedule.
- Provide TA to 50% of PHAs with utilization rates below 90%.
- Provide direct TA to 80% of the largest assigned PHAs with the lowest PHAS scores to increase scores.
- Ensure reduction of units managed by assigned Troubled PHAs and HCV agencies by ensuring development/execution of MOAs and CAPS, respectively, for 90% of them within 6 months.
- Ensure inclusion of CFFP information in education and outreach efforts to assigned PHAs.

Unacceptable Performance Standards: Performance at this level means that the standards at the Fully Successful level were not met and:

Promote Decent Affordable Housing –

- No contact with HOPE VI grantee for HOPE VI grants behind schedule.
- Two or more PHAs that expressed interest in the CFFP received no assistance.
- Fails to provide TA to Section 8 program administrators to increase utilization rates.
- Fails to provide TA to 70% of the largest PHAs with the lowest PHAS scores.
- Fails to establish MOAs with troubled agencies within 9 months.
- Fails to establish CAPS with SEMAP troubled programs within 9 months.

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

Strategic Objective: Improve HUD's management, internal controls to ensure program compliance and resolve audit issues.

Management Plan/APP: Perform Tier I reviews; pilot Asset Management; and build capacity of recipients of PIH funding to effectively administer and operate their programs.

Description: Based on work assigned, improve accountability, service delivery, customer service focusing on internal controls to ensure program compliance and resolve audit issues.

GS-12: The employee serves as an expert about Public Housing Programs and will serve as an independent Team Leader for on-site reviews, audits and other reviews of the operations of housing agencies. Employee has comprehensive knowledge and skill in analytical and evaluative methods, and may be assigned a portfolio that includes large agencies, HOPE VI grants, and more than one troubled housing agency.

Outstanding Performance Standards: In addition to meeting the requirements of Fully Successful, an employee must demonstrate the highest degree of achievement; demonstrate initiative and self-reliance; and substantially meet the following:

Embrace High Standards of Ethics, Management, and Accountability

- Participate on national teams, special task forces, working groups or other departmental initiatives in order to enhance or improve OPH operations or develop creative solutions to resolve issues that impact on PHA performance, program compliance, or accountability.
- Participate and/or conduct at least 1 training event for PHAs converting to Asset Management.
- Perform all assigned Tier 1 Comprehensive Reviews and select up-front civil rights, subject to availability of travel resources.
- For OIG audits, ensure that all management decisions are obtained timely. Complete 90% of OIG required final actions for the Fiscal Year.
- Negotiates solutions to sensitive or problematic issues—both internally and externally.
- Serves as lead in initiating cross-functional team meetings and projects to resolve complex problems at a public housing agency and facilitates the development of strategies that resolve the problems.

Fully Successful Performance Standards: Performance at this level consistently meets the following standards:

Embrace High Standards of Ethics, Management, and Accountability –

- Required number of comprehensive, civil-rights front-end limited monitoring & other required reviews of selected/ high risk PHAs completed by established due dates; review reports include corrective action plans to address deficiencies and analysis and strategy developed to improve the capacity of PHAs..
- Ensures routine service delivery and program performance including review of PHA plans within 75 days, mixed finance packages, designated housing plans, Operating Subsidy calculations, including accurate determination of phase down funding, and completion of PHAS and SEMAP responsibilities for all assigned PHAs.
- For assigned PHAs, assure that all data systems are maintained accurately and current, including PIC, LOCCS VMS, HUDCAPS, and MAPS.
- Track A-133 IPA audits issued and ensure corrective action of identified findings. Provide reminders to PHAs to ensure that PHAs contract for IPA audits and track clearance of findings. Ensure submission of timely financial statements in FASS.
- For OIG Audits, 90% of management decisions are obtained timely. Complete 80% of OIG-required final actions for the FY.
- Demonstrates sound use of the risk assessment to develop cross-functional approach to resolving various PHA issues.

Consistently brings to the Supervisors attention any significant issues of importance regarding potential problems as well as suggestion solutions and strategies for resolution of the identified problems.

Unacceptable Performance Standards: Performance at this level means that the standards at the Fully Successful level were not met and:

Embrace High Standards of Ethics, Management, and Accountability –

- Fails to complete required number of comprehensive, civil-rights front-end limited monitoring & other required reviews of selected/ high risk PHAs completed by established due dates.
- Fails to provide routine service delivery and program performance including review of PHA plans within 75 days, mixed finance packages, designated housing plans, Operating Subsidy calculations, including accurate determination of phase down funding, and completion of PHAS and SEMAP responsibilities for all assigned PHAs.
- Data systems maintenance for assigned PHAs is inaccurate or not up to date, including PIC, LOCCS VMS, HUDCAPS, and MAPS.
- Fails to track A-133 IPA audits issued and ensure corrective action of identified findings. No actions taken to ensure submission of timely financial statements in FASS.
- For OIG Audits, less than 80% of management decisions are obtained timely and less than 70% of OIG-required final actions for the FY are completed.
 - On more than 3 occasions, did not participate in team activities to complete work assignments which lead to problem situations internally and externally.
 - Supervisor receives negative feedback more than 5 times during the year, which involves failure to properly coordinate with others.