

Critical Element 1: Collaboration

This critical element measures the extent to which the employee builds and/or leverages networks and partnerships within and across the office, other offices within HUD, other federal agencies, and partners external to HUD to achieve Departmental goals and objectives. This includes goals and objectives established by Headquarters, the network, or the field office. It also measures the ability of the employee to work effectively and cooperatively in a team setting. The employee must share expertise and knowledge as a means of fostering collaboration and producing greater value than if the employee acted alone.

Outstanding

To attain this rating, the employee meets the following:

1. Participates in or initiates at least 3 cross-program collaborative efforts with internal stakeholders which results in improved outcomes.
2. Initiates and leads at least 3 partnerships or projects with external stakeholders above and beyond the day-to-day responsibilities of the position that support HUD goals and objectives and positively impact tasks or the organization.
3. Collaborates on at least 3 projects that have a positive impact on HUD priorities, including but not limited to:

- Supporting PHAs through technical assistance, monitoring, and oversight in an effort to return to normal operations (post-pandemic)
- Make efforts to assist PHAs to increase HCV utilization (including special purpose vouchers: HUD-VASH, FUP, FYI, and Mainstream) and decreasing leasing potential through technical assistance, monitoring, and oversight
- Make efforts to assist PHAs to increase public housing occupancy through technical assistance, monitoring, and oversight
- Make efforts to improve access to quality public housing through technical assistance, monitoring, and oversight
- Promoting energy efficiency and resiliency
- Promoting healthy housing and communities, including reducing lead hazards
- Supporting equity for vulnerable or underserved communities
- Reducing and preventing homelessness
- Promoting Section 3
- Reducing barriers to affordable housing

(Note: Employees will not be directly responsible for specific outcomes related to the above-bulleted items, but rather for providing technical assistance, monitoring as well as oversight to PHAs.)

EW
4/8/22

FG
4/28/22

Fully Successful

To attain this rating, the employee meets the following:

1. Participates in at least 1 cross-program collaborative effort with internal stakeholders which results in improved outcomes.
2. Participates in at least 1 partnership or project with external stakeholders that support HUD goals and objectives and positively impact tasks or the organization.
3. Collaborates on at least 1 project that has a positive impact on HUD priorities, including but not limited to:
 - Supporting PHAs through technical assistance, monitoring, and oversight in an effort to return to normal operations (post-pandemic)
 - Make efforts to assist PHAs to increase HCV utilization (including special purpose vouchers: HUD-VASH, FUP, FYI, and Mainstream) and decreasing leasing potential through technical assistance, monitoring, and oversight
 - Make efforts to assist PHAs to increase public housing occupancy through technical assistance, monitoring, and oversight
 - Make efforts to improve access to quality public housing through technical assistance, monitoring, and oversight
 - Promoting energy efficiency and resiliency
 - Promoting healthy housing and communities, including reducing lead hazards
 - Supporting equity for vulnerable or underserved communities
 - Reducing and preventing homelessness
 - Promoting Section 3
 - Reducing barriers to affordable housing

Em
4/8/22

FG
4/28/22

(Note: Employees will not be directly responsible for specific outcomes related to the above-bulleted items, but rather for providing technical assistance, monitoring as well as oversight to PHAs.)

Unacceptable

To attain this rating, the employee fails to meet 50% of the requirements of Fully Successful, such as:

1. Does not participate in cross-program collaborative efforts with internal stakeholders which results in improved outcomes.
2. Does not participate in partnerships or projects with external stakeholders that support

HUD goals and objectives and positively impact tasks or the organization.

3. Does not collaborate on projects that have a positive impact on HUD priorities, including but not limited to:
- Supporting PHAs through technical assistance, monitoring, and oversight in an effort to return to normal operations (post-pandemic)
 - Make efforts to assist PHAs to Increase HCV utilization (including special purpose vouchers: HUD-VASH, FUP, FYI, and Mainstream) and decreasing leasing potential through technical assistance, monitoring, and oversight
 - Make efforts to assist PHAs to increase public housing occupancy through technical assistance, monitoring, and oversight
 - Make efforts to improve access to quality public housing
 - Promoting energy efficiency and resiliency
 - Promoting healthy housing and communities, including reducing lead hazards
 - Supporting equity for vulnerable or underserved communities
 - Reducing and preventing homelessness
 - Promoting Section 3
 - Reducing barriers to affordable housing

pm
4/8/22

(Note: Employees will not be directly responsible for specific outcomes related to the above-bulleted items, but rather for providing technical assistance, monitoring as well as oversight to PHAs.)

FG
4/28/22

Critical Element 2: Personal Investment

HUD promotes continual employee improvement, innovation, and professional growth. The employee is expected to expand his/her knowledge in areas related to program work and general skills and knowledge. Training that supports personal investment includes, but is not limited to, job shadowing, best practices discussion groups, lunch and learns, mentoring, special assignments or projects, classroom training, remote and HVU training, training from a peer, self-directed research, learning and application, and providing training to peers, PHAs, and/or other stakeholders. This critical element supports improved employee performance, strengthens teams, expands employee knowledge and skills, and increases employee contributions to the organization.

Outstanding

To attain this rating, the employee meets the following:

1. Initiates and leads at least 3 assignments or projects that develop the employee's skills and knowledge and contribute to the organization.

2. Develops and conducts at least 2 training sessions for peers, management, and/or PHAs or other stakeholders (internal or external to the field office) that lead to positive feedback and increased program performance.
3. Regularly mentor other staff and proactively engages with peers and management to strengthen and improve the organization and/or PHA performance.
4. Works with the supervisor to establish a training plan for expanding and/or sharing the employee's knowledge and skills within the designated discipline and other capacity-building skills, as necessary. The plan must include, at a minimum, all mandatory training specified for the position.
5. Completes all mandatory training specified for the position by the established due date.
6. Acquires program information and knowledge and shares it with peers, management, PHAs, and other stakeholders to ensure consistency and transparency.
7. Continually increases understanding of HUD policies and programs and applies it to assigned workload, as demonstrated by effective decision-making, programmatically correct guidance, and well-supported recommendations to managers.

Rm
4/8/22

FG
4/28/22

Fully Successful

To attain this rating, the employee meets the following:

1. Works with the supervisor to establish a training plan for expanding and/or sharing the employee's knowledge and skills within the designated discipline and other capacity-building skills, as necessary. The plan must include, at a minimum, all mandatory training specified for the position.
2. Completes all mandatory training specified for the position by the established due date.
3. Acquires program information and knowledge and shares it with peers, management, PHAs, and other stakeholders to ensure consistency and transparency.
4. Continually increases understanding of HUD policies and programs and applies it to assigned workload, as demonstrated by effective decision-making, programmatically correct guidance, and well-supported recommendations to managers.

Unacceptable

To attain this rating, the employee fails to meet 50% of the requirements of Fully Successful, such as:

1. Does not work with the supervisor to establish a training plan for expanding and/or sharing the employee's knowledge and skills within the designated discipline and other capacity-building skills as necessary. The plan does not include at a minimum all mandatory training specified for the position.
2. Does not complete all mandatory training specified for the position by the established due date.
3. Does not acquire program information and knowledge and does not share it with peers, management, PHAs, and other stakeholders.
4. Does not continually increase understanding of HUD policies and programs or apply it to the workload. Does not make effective or well-supported decisions and/or recommendations.

Critical Element 3: Meet Agency Priority Goals (APG)

Dm
4/8/22

This critical element measures the employee's effectiveness in obtaining positive results that contribute to the overall achievement of HUD's APG, PIH, and OFO priorities including but not limited to:

4/28/22
 FG

APG, PIH, & OFO PRIORITIES: Improve PHA Performance
HOUSE MORE FAMILIES
Increase public housing occupancy
Increase HCV utilization
IMPROVE PHYSICAL CONDITIONS
Improve the performance of troubled and substandard PHAs
IMPROVE FINANCIAL CONDITIONS
Increase the number of solvent public housing, HCV, and entity programs
Decrease the number of troubled and substandard PHAs

Outstanding

To attain this rating, the employee successfully participates in and/or implements at least 6 activities in support of the above APG, PIH, and OFO priorities, and proactively leads at least 2. The activities are accurate, complete, and require few edits.

Fully Successful

To attain this rating, the employee successfully participates in and/or implements at least 4 activities in support of the above APG, PIH, and OFO priorities. The activities are complete and do not require substantive changes.

Unacceptable

To attain this rating, the employee participates in and/or implements 2 or fewer activities in support of the above APG, PIH, and OFO priorities.

(Note: Employees will not be directly responsible for specific outcomes [e.g., statistical percentage increases] related to the implementation and management decisions of PHA executive management and staff.)

Critical Element 4: Risk and Portfolio Management (Book of Business)

OFO's Portfolio Management approach monitors the performance of PIH's assisted-housing programs and the PHAs that carry them out. The employee should fully utilize systems thinking, PRMT, and the risk mitigation framework that results in the assignment of risk and identifies actionable measures for mitigating the risk. The employee should use HUD resources to influence actions to obtain positive results. The employee should also assist in field office activities to recover and sustain insolvent, troubled, and/or substandard PHAs (PHAS and SEMAP) within the portfolios; addressing the highest-risk PHAs; recovering, sustaining, and returning receivership PHAs; and encouraging repositioning.

Rm
4/8/22

Outstanding

To attain this rating the employee meets the following:

1. Demonstrates exceptional knowledge of laws, regulations, policies, and procedures in work activities and outcomes and/or identifies and researches available resources to improve or sustain PHA performance or operations with minimal supervisory involvement. Trains others and works independently to provide accurate work products that require few edits.
2. In at least 3 instances, anticipates and addresses significant and complex issues and develops viable solutions independently or in collaboration with others that attempts to influence behavior in PHA performance and operations.
3. In at least 5 instances, analyzes PHA operations performance to identify risk and risk to try to mitigate strategies and works with the PHA to implement.
4. Uses HUD systems and other tools (e.g., PHARS) to access, analyze, and interpret program performance indicators in an attempt to influence and provide guidance to all portfolio PHAs to support improved or sustained performance.
5. Monitors and provides timely technical assistance to address risk and/or improve PHA performance with minimal supervision. Trains others and works independently to provide accurate work products that require few edits.

FG
4/28/22

6. With no more than 1 exception, completes activities related to PIH goals within established deadlines with minimal supervision, keeping management informed of progress.

(Note: Employees will not be directly responsible for specific outcomes related to the implementation and management decisions of PHA executive management and staff.)

Fully Successful

To attain this rating, the employee meets the following:

1. Demonstrates knowledge of laws, regulations, policies, and procedures in work activities and outcomes and/or identifies and researches available resources to improve or sustain PHA performance or operations. Assists others and works independently to provide accurate work products that do not require substantive changes.
2. In at least 1 instance, anticipates and addresses significant and complex issues and develops viable solutions independently or in collaboration with others that attempts to influence behavior in PHA performance and operations.
3. In at least 3 instances, analyzes PHA operations performance to identify risk and risk to try to mitigation strategies and works with the PHA to implement.
4. Uses HUD systems and other tools (e.g., PHARS) to access, analyze, and interpret program performance indicators in an attempt to influence and provide guidance to PHAs to support improved or sustained performance.
5. Monitors and provides timely technical assistance to address risk and/or improve PHA performance. Assists others and work independently to provide accurate work products that do not require substantive changes.
6. With no more than 3 exceptions, completes activities related to PIH goals within established deadlines, keeping management informed of progress.

DM
4/8/22

FG
4/28/22

(Note: Employees will not be directly responsible for specific outcomes related to the implementation and management decisions of PHA executive management and staff.)

Unacceptable

To attain this rating, the employee fails to meet 50% of the requirements of Fully Successful, such as:

1. Does not demonstrate knowledge of laws, regulations, policies, and procedures in work activities and outcomes. Does not identify and research available resources to improve or

sustain PHA performance or operations. Does not assist others or work independently. Work products are inaccurate and/or require substantive changes.

2. Does not analyze performance trends and other data to ensure appropriate risk mitigation strategies are developed and does not attempt to influence the PHAs to implement.
3. Does not work to anticipate and address significant and complex issues and develop viable solutions independently or in collaboration with others that try to influence behavior in PHA performance and operations.
4. Does not use HUD systems and other tools to access, analyze, and interpret program performance indicators in an attempt to influence and provide guidance to PHAs to support improved or sustained performance.
5. Does not monitor and provide technical assistance to address risk and/or improve PHA performance.
6. In at least 5 instances, does not complete activities related to PIH goals within established deadlines and/or requires significant supervision. Does not keep management informed of progress.

Rm
4/8/22

FG
4/28/22

(Note: Employees will not be directly responsible for specific outcomes related to the implementation and management decisions of PHA executive management and staff.)

Critical Element 5: Operational Excellence (Book of Business)

This critical element measures the employee's contribution to improving how HUD does business through effective communication and customer service and the production of high-quality work products. By improving fundamental work processes and supporting HUD's mission, the employee will contribute to improved efficiency and effectiveness within the Department.

Outstanding

To attain this rating, the employee must meet the following:

1. Develops and retains a positive working relationship with HUD staff, PHAs, and/or other partners, as evidenced by no more than one (1) instance of valid negative feedback from internal and/or external stakeholders.
2. Effectively represents HUD at a minimum of 4 internal or external meetings or events to communicate Departmental goals and policies and engage stakeholders.

3. Completes assignments of exceptional quality as demonstrated by no more than 1 product requiring substantive changes. Prepares written work that accurately emphasizes key issues; considers HUD policy, regulations, and statutes; is concise, responsive, and accurate; and is provided prior to or within established deadlines.
4. Develops at least 1 innovative practice or demonstrates initiative in leading a project that improves the effectiveness and/or efficiency of the field office, OFO, or HUD.
5. As demonstrated by at least 3 examples, responds constructively to feedback, seeking ways to improve, and consistently raises concerns in a constructive manner, offering potential solutions.
6. Provides updates, information, and recommendations to supervisor on work-related matters, describing accomplishments, status, and problems.
7. Resolves inquiries and responds to requests for information accurately and within established deadlines.

Pm
4/8/22
FG
4/28/22

Fully Successful

To attain this rating, the employee meets the following:

1. Develops and retains a positive working relationship with HUD staff, PHAs, and/or other partners, as evidenced by no more than three (3) instances of valid negative feedback from internal and/or external stakeholders
2. Effectively represents HUD at a minimum of 2 internal or external group meetings or events to communicate Departmental goals and policies and engage stakeholders.
3. Completes assignments of high quality as demonstrated by no more than 3 products requiring substantive changes. Prepares written work that accurately emphasizes key issues; considers HUD policy, regulations, and statutes; is concise, responsive, and accurate; and is provided within established deadlines.
4. As demonstrated by at least 1 examples, responds constructively to feedback, seeking ways to improve, and consistently raises concerns in a constructive manner, offering potential solutions.

5. Provides updates, information, and recommendations to supervisor on work-related matters, describing accomplishments, status, and problems.
6. Resolves inquiries and responds to requests for information accurately and within established deadlines.

Unacceptable

To attain this rating, the employee fails to meet 50% of the requirements of Fully Successful, such as:

1. Does not develop and retain positive working relationships with HUD staff, PHAs and/or others, as evidenced by no more than 4 instances of valid negative feedback from internal and/or external stakeholders.
2. Does not effectively represent HUD at internal or external group meetings or events to communicate Departmental goals and policies and engage stakeholders.
3. Does not prepare written work that accurately emphasizes key issues; considers HUD policy, regulations, and statutes; is concise, responsive, and accurate; and is provided within established deadlines, as demonstrated by at least 5 products requiring substantive changes.
4. Does not respond constructively to feedback, seeking ways to improve. Does not consistently raise concerns in a constructive manner, offering potential solutions.
5. Does not provide updates, information, and recommendations to supervisor on work-related matters, describing accomplishments, status, and problems.
6. Does not resolve inquiries and does not respond to requests for information accurately and within established deadlines.

Rm
4/8/22

FG
4/28/22

Considerations for All Elements

1. If there is a specific circumstance that affects the ability of your employees from meeting the requirements of any of the elements, you can work with your manager to make the needed adjustments to the standards for your office.
2. All critical elements are subject to timely receipt of funding and authorization/appropriations. If funding or authorization/appropriations are delayed or decreased, an employee's supervisor should adjust the critical element standards accordingly.
3. In applying performance elements and standards, an employee's performance appraisal

shall take into account factors beyond an employee's control after an employee has exerted every effort to influence the outcome, including, but not limited to, unusual or extenuating circumstances such as availability of resources, delays attributable to others, unanticipated additional work assignments, changing priorities, or high-volume workloads. Deadlines and quantitative goals may be extended or adjusted by management as conditions warrant.

4. If a particular individual performance standard does not apply to an employee, his/her rating official, with the concurrence of the Regional Public Housing Director or Deputy Assistant Secretary, should not apply that standard to the employee. Examples of a particular performance standard not applying to an employee include, but are not limited to, work responsibilities outside the employee's area(s) of responsibility, portfolio, work product, or book of business.

pm
4/8/22

FG
4/28/22