

SAN ANTONIO OFFICE

New 107  
elements

Elements & Standards

U.S. Department of Housing and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						1

**Critical Element Description: REPRESENTATION** – Represents the Department and its community development programs and priorities to grantee officials; citizens, potential and current customers, HUD personnel, and other government personnel.

**Strategic Goal: STRENGTHEN COMMUNITIES**

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

**Outstanding Performance Standards:** In addition to meeting the requirements for fully successful, the employee must meet at least three or more of the following requirements for outstanding. (Less than three would equate to highly successful)

- On own initiative, identifies and carries out at least one (1) special project or representation opportunity that would improve grantee performance and significantly contribute to the grantee's ability to administer CPD programs.
- Represents CPD in at least 1 formal setting, such as public meetings, special committees or Task Forces, groundbreakings, graduation exercise for job training graduates, etc.
- Leads or conducts a minimum of one (1) workshop/meeting that is well designed and effectively delivers resources to participants that will increase their capacity to effectively coordinate CPD programs in their communities.
- At least 90% or greater of assigned grantees requesting technical assistance to resolve programmatic issues are provided assistance that will resolve issues within ten (10) working days from request.
- Documentation of any significant communication with CPD's customers is maintained in GMP and is recorded accurately at least 90% of the time.
- Mail inquiries are processed and responded to on average within 15 days <sup>working</sup> from time of receipt.
- Offers solutions to improve internal operations that are implemented.

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

- Provides information, advice or guidance that demonstrates a thorough knowledge of CPD programs and reflects Departmental policies through written and oral presentation.
- At least 70% of assigned grantees requesting technical assistance to resolve programmatic issues are provided assistance that will resolve issues within ten (10) working days from request.
- \* Participates in at least 3 informational sharing meetings related to CPD programs.
- No more than three valid complaints are received from internal or external clients.
- Represents the Department at meetings, conference calls, or other contacts with grantees and/or clients.
- Mail inquiries are processed and responded to on average within 30 days from time of receipt.
- Documentation of any significant communication with CPD's customers is maintained in GMP and is recorded accurately at least 75% of the time.
- notifies supervisors of any time delay

**Unacceptable Performance Standards:**

- Information, advice or guidance is consistently unclear, ineffective, or discourteous and usually requires clarification by supervisor.
- More than three valid complaints are received from internal or external clients.
- Mail inquiries are processed and responded to on average of 60 days from time of receipt.
- Documentation of any significant communication with CPD's customers is maintained in GMP and is recorded accurately less than 70% of the time.
- Information, advice or guidance that is provided demonstrates a limited knowledge of CPD programs and does not accurately reflect Departmental policies through written and oral presentation.
- Less than 70% of assigned grantees requesting technical assistance to resolve programmatic issues are provided assistance that will resolve issues within ten (10) working days from request.

**Actual Accomplishments:**

## Elements & Standards

U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						2

**Critical Element Description: PROGRAM KNOWLEDGE, TECHNICAL ASSISTANCE AND TRAINING** – Exhibits knowledge of program authorities, regulations, policies and procedures of assigned CPD programs and is reflected in technical assistance and training provided to CPD staff and grantees.

### STRATEGIC GOAL: STRENGTHEN COMMUNITIES

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

**Outstanding Performance Standards:** In addition to meeting the requirements for fully successful, the employee must meet at least three or more of the following requirements for outstanding. (Less than three would equate to highly successful)

- Demonstrates a mastery of regulations, circulars, notices, and policies of CPD programs by interpreting and clearly stating complicated program requirements comprehensively with 95% accuracy that is acknowledged by peers, supervisory staff, and client groups.
- Organizes and presents information to other staff upon return from formal training, conferences and/or workshops within 15 days after return.
- Improves program compliance for at least one (1) identified assigned grantees (formula/competitive) that focus on efficiency, cost effectiveness, and/or timeliness.
- Executes at least one grantee training on mitigating lead hazard in CPD assisted homeownership and housing rehabilitation programs.
- Develops and executes an assistance plan for one assigned grantee (formula/competitive) to target resources that will meet the community's housing and economic development needs and/or the population they serve.
- Develops and implements one (1) training that is carried out in conjunction with the SuperNOFA, that increases awareness of HUD programs to Faith based organizations, other non-profits, grantees, and other internal and external clients.

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

- Demonstrates knowledge of regulations, circulars, notices, and policies of CPD programs through written material and inputs into GMP that are prepared with 85% accuracy.
- Shares program knowledge and skills by presenting updates to staff and grantees at least once per year through oral presentation or written communication.
- Organizes and presents information to other staff upon return from formal training, conferences and/or workshops within 30 days after return.
- Reviews data/reports for assigned grantees at least quarterly and identifies grantees that are not in compliance with commitment, reservation, and/or expenditure standards/requirements. Notification is provided to grantees and technical assistance needs are identified and delivered to work toward bringing the grantee(s) into compliance.
- Notifies 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 goals.

**Unacceptable Performance Standards:**

- Knowledge of regulations, circulars, notices, and policies of CPD programs reflects a lack of understanding of program requirements and usually requires clarification by supervisor.
- Organizes and presents information to other staff upon return from formal training, conferences and/or workshops after 45 days after return.
- Technical assistance needs of assigned grantees are not identified or addressed or completes less than 70% of technical assistance needs for identified assigned grantees

**Actual Accomplishments:**



## Elements & Standards

U.S. Department of Housing  
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Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						3 (cont)

**Critical Element Description: ORGANIZATION AND MANAGEMENT OF PORTFOLIO:** Organizes and performs day-to-day work in a manner consistent with priorities of the division. Assignments are completed in a timely manner.

**STRATEGIC GOAL: Embrace High Standards of Ethics, Management, and Accountability**

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

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

### For Managing Assigned Formula Grantees

- At least 75% of Con Plans and Annual Action Plans are reviewed within 30 days of receipt.
- At least 75% of CAPERs are processed to completion and assessment communicated 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 75% of the time for substantive revisions.
- 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.
- Correspondence in the management of grantees is responded to in thirty days at least 75% of the time.
- At least 75% of Formula grantees report some objectives and outcomes in IDIS by September 30.
- 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.

### For Managing Assigned Competitive Grantees

- At least 75% of assigned Grant applications rating reviews, as a result of SuperNOFA, are completed in accordance with processing deadlines identified in instructions from HQ.
- At least 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.
- At least 75% of assigned YB and RHED awards, to include processing of executed grant agreement to grantee, are completed by assigned deadlines.
- At least 75% of Performance Reviews (i.e. annual, semi-annual) are processed no later than 90 days from date of receipt to HUD.
- 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 75% of the time for substantive revisions.
- 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.
- Correspondence in the management of grantees is responded to in thirty days at least 75% of the time.
- 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.

### Unacceptable Performance Standards:

#### For Managing Assigned Formula Grantees

- Less than 70% of Con Plans and Annual Action Plans are reviewed within 30 days of receipt.
- Less than 70% of CAPERs are processed to completion and assessment communicated 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 more than 70% of the time for substantive revisions.
- Grant activities are documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate less than 70% of the time.
- Correspondence in the management of grantees is responded to in more than thirty days at least 70% of the time.
- Less than 70% of Formula grantees report some objectives and outcomes in IDIS by September 30.

**Elements & Standards**U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						<b>3 (cont)</b>

**Critical Element Description: ORGANIZATION AND MANAGEMENT OF PORTFOLIO:** Organizes and performs day-to-day work in a manner consistent with priorities of the division. Assignments are completed in a timely manner.

**STRATEGIC GOAL:** Embrace High Standards of Ethics, Management, and Accountability

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

**Unacceptable Performance Standards (cont.):****For Managing Assigned Competitive Grantees**

- Less than 70% of assigned Grant applications rating reviews, as a result of SuperNOFA, are completed in accordance with processing deadlines identified in instructions from HQ.
- Less than 70% of assigned conditional homeless awards to include the processing of technical submissions are completed and finalized via an executed grant agreement by September 30.
- Less than 70% of assigned YB and FI IED awards, to include processing of executed grant agreement to grantees, are completed by established deadlines.
- Less than 70% of Performance Reviews (i.e. annual, semi-annual) are processed more than 120 days from date of receipt to HUD.
- 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 70% of the time for substantive revisions.
- Grant activities are documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate less than 70% of the time.
- Correspondence in the management of grantees is responded to in more than thirty days at least 70% of the time.

**Actual Accomplishments:**

**Elements & Standards**U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						4

**Critical Element Description: EVALUATION OF GRANTEE PERFORMANCE:** conducts on-site and in-house reviews and evaluations of Grantee's programs to assess risk and monitor for contract and regulatory compliance to ensure protection of the public trust in CPD programs.

**STRATEGIC GOAL: EMBRACE HIGH STANDARDS OF ETHICS, MANAGEMENT, AND ACCOUNTABILITY**

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

**Outstanding Performance Standards:** In addition to meeting the requirements for fully successful, the employee must meet at least five or more of the following requirements for outstanding. (Less than five would equate to highly successful)

**MONITORING:**

- At least 90% of monitoring strategies are completed, approved by management, documented in GMP, and letter mailed to identified grantees to be monitored at least forty-five days before the start of monitoring.
- Participates in monitoring team visit (as assigned) and provides the lead reviewer with monitoring conclusions and supporting documentation within 15 days of monitoring visit.
- At least 90% of monitoring reports (with supporting documentation) are submitted to supervisor for review within 25 days of the exit conference, to allow time for corrections, edits, and/or additional information.
- Monitoring reports are supported, technically accurate, identify correct program guidelines, and are returned on average no more than one time for revisions.
- At least 90% of monitoring reports are completed, input into GMP, and transmitted to the grantee no later than 30 days from the exit conference. Monitoring reports are prepared in accordance with CPD policies and accurately reflect program requirements.
- At least 85% of prior year monitoring findings/sanctions are closed out by end of current fiscal year and documented in GMP and program files.
- Completes one or more additional monitorings (onsite/remote) that will contribute to the division exceeding its' monitoring goal by 10% by the end of the Fiscal Year.

**OIG COMPLAINTS/CONGRESSIONAL CORRESPONDENCE: (if applicable)**

- At least 85% of hotline complaints and congressional correspondence are responded to within established deadlines

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

**RISK ANALYSIS:**

- Completes Risk Analysis for assigned grantees in accordance with CPD guidelines and is properly documented in GMP by required due date.

**MONITORING:**

- At least 75% of monitoring strategies are completed, approved by management, documented in GMP, and letter mailed to identified grantees to be monitored at least thirty (30) days before the start of monitoring.
- At least 75% of monitorings (onsite/remote) are completed on schedule according to the workplan and remainder of monitorings are completed by September 30.
- Participates in monitoring team visit (as assigned) and provides the lead reviewer with monitoring conclusions and supporting documentation within 25 days of monitoring visit.
- At least 75% of monitoring reports (with supporting documentation) are submitted to supervisor for review no later than 35 days of the exit conference, to allow time for corrections, edits, and/or additional information.
- Monitoring reports are supported, technically accurate, identify correct program guidelines, and are returned on average no more than two times for revisions.
- At least 75% of monitoring reports are completed, input into GMP, and transmitted to the grantee no later than 45 days from the exit conference, except with express written concurrence from the CPD Director. Monitoring reports are prepared in accordance with CPD policies and accurately reflect program requirements.
- At least 75% of prior year monitoring findings/sanctions are closed out by end of current fiscal year and documented in GMP and program files.
- Completes assigned monitoring/technical assistance activities within allocated budget and during scheduled quarter.

**OIG COMPLAINTS/CONGRESSIONAL CORRESPONDENCE:**

- At least 75% of hotline complaints and congressional correspondence are responded to within established deadlines

**Elements & Standards**U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						4 (cont.)

**Critical Element Description: EVALUATION OF GRANTEE PERFORMANCE:** conducts on-site and in-house reviews and evaluations of Grantee's programs to assess risk and monitor for contract and regulatory compliance to ensure protection of the public trust in CPD programs.

**STRATEGIC GOAL: EMBRACE HIGH STANDARDS OF ETHICS, MANAGEMENT, AND ACCOUNTABILITY**

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

**Unacceptable Performance Standards:**

- Risk Analysis is completed after due date.
- Monitoring strategies are not completed prior to monitoring.
- Assigned monitoring is not completed on schedule.
- Monitoring reports submitted for review are poorly documented, not prepared in accordance with Departmental policies, and inaccurate.
- Hotline complaints are not answered consistent with established deadlines
- Risk Analysis and monitoring activities are documented in GMP less than 60% of the time.

**Actual Accomplishments:**

**Elements & Standards**U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						5

**Critical Element Description: INCREASE HOMEOWNERSHIP OPPORTUNITIES AND PROMOTE DECENT AFFORDABLE HOUSING:** Expand access to affordable rental housing and homeownership

**STRATEGIC GOAL: INCREASE HOMEOWNERSHIP OPPORTUNITIES AND PROMOTE DECENT AFFORDABLE HOUSING**

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

**Outstanding Performance Standards:** In addition to meeting the requirements for fully successful, the employee must meet at least two (2) of the following requirements for outstanding. (Less than two (2) would equate to highly successful)

- Reviews and analyzes HOME Snapshot reports within 20 days of receipt for assigned Participating Jurisdictions and prepares letter/e:mail with results of analysis, i.e. accomplishments, need for modifications in program design or implementation, deficiencies at least 85% of the time
- Reviews and analyzes data in IDIS on a monthly basis for all CDBG, ESG, HOME, or HOPWA activities of assigned grantees designed to provide affordable rental housing and/or homeownership, and prepares letter/e:mail within 10 days of review, with results of analysis, i.e. superior performance, inadequate progress, recommendations for specific actions designed to improve performance at least 85 % of the time.
- A performance plan is executed to accomplish a 20% improvement in performance of assigned PJs reporting HOME or ADDI completion in IDIS.
- A performance plan is executed to accomplish a 20% improvement of assigned HOME PJs or CHDOs with RedFlag threshold scores in the lower percentile as reflected in the HOME Snapshot Reports.

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

- Reviews and analyzes HOME reports within 30 days of receipt for assigned Participating Jurisdictions, and prepares letter/e:mail with results of analysis, i.e. accomplishments, need for modifications in program design or implementation, deficiencies at least 75% of the time
- Reviews and analyzes data in IDIS on a quarterly basis for all CDBG, ESG, HOME, or HOPWA activities of assigned grantees designed to provide affordable rental housing and/or homeownership, and prepares letter/e:mail within 15 days of review, with results of analysis, i.e. superior performance, inadequate progress, recommendations for specific actions designed to improve performance at least 75% of the time.
- A performance plan is executed to accomplish a 10% improvement in performance of assigned PJs reporting HOME or ADDI completion in IDIS.
- A performance plan is executed to accomplish a 10% improvement of assigned HOME PJs or CHDOs with RedFlag threshold scores in the lower percentile as reflected in the HOME Snapshot Reports.
- Keeps supervisor informed of major issues and identifies technical assistance to assigned grantee(s).

**Unacceptable Performance Standards:**

- Reviews and analyzes HOME reports after 45 days of receipt for assigned Participating Jurisdictions, and prepares letter/e:mail with results of analysis, i.e. accomplishments, need for modifications in program design or implementation, deficiencies less than 70% of the time
- Reviews and analyzes data in IDIS less than quarterly for all CDBG, ESG, HOME, or HOPWA activities of assigned grantees designed to provide affordable rental housing and/or homeownership, and prepares letter/e:mail more than 60% of the time to assigned Participating Jurisdictions more than 25 days after review, with results of analysis, i.e. superior performance, inadequate progress, recommendations for specific actions designed to improve performance.
- Assistance is provided to less than 10% of assigned grantees to enhance or improve affordable housing opportunities.

**Actual Accomplishments:**

## Elements & Standards

U.S. Department of Housing  
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
						6

**Critical Element Description: FINANCIAL MANAGEMENT:** Reviews, monitors, evaluates and provides technical assistance to assigned grantees on financial matters.

### STRATEGIC GOAL: EMBRACE HIGH STANDARDS OF ETHICS, MANAGEMENT, AND ACCOUNTABILITY

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

**Outstanding Performance Standards:** In addition to meeting the requirements for fully successful, the employee must meet at least two (2) of the following requirements for outstanding. (Less than two (2) would equate to highly successful)

- Works with grantees to resolve at least 85% of IDIS access problems within 10 days.
- Works with grantees to resolve at least 90% of LOCCS drawdown problems, within two days of receipt.
- Takes necessary actions to establish grantee authorizations in the IDIS systems so that grantees have timely IDIS access to do data entry and drawdown of funds; at least 85% of documentation is processed within three days of receipt.
- Monitors un-liquidated obligations reports for assigned grantees at least monthly to identify those grants that are targeted for de-obligation of funds at Fiscal Year end and submits report to supervisor.
- Completes review and transmittal of at least 90% of single audit reports received for assigned grantees, within 60 days of receipt.

**Fully Successful Performance Standards:** To meet this standard, the employee's performance consistently meets the following:

- Takes necessary actions to establish grantee authorizations in LOCCS so that grantees have LOCCS access to funds in a timely manner. At least 90% of grantees receive LOCCS access within 45 days of their requests.
- Works with grantees to resolve LOCCS drawdown problems, with at least 80% of the drawdown problems resolved within four days of receipt.
- Based on quarterly monitoring of un-liquidated obligations reports for assigned grantees; follows-up with grantees, initiates action to reprogram or de-obligate funds for at least 75% of projects that are no longer viable.
- Based on quarterly monitoring of un-liquidated obligations reports for assigned grantees and follow-up with impacted grantees, identifies at least 75% of grants that will still be viable as of the end of the Fiscal Year, and requests appropriate extensions.
- Completes review and transmittal of at least 80% of single audit reports received for assigned grantees, within 90 days of receipt.
- At least 75% of single audit response actions are reviewed and necessary follow-up taken with the grantee within the established time frame.

#### OIG Audits (if applicable)

- Audit response actions for OIG audits are made within the prescribed time frame set by OIG for at least 75% of the findings and required tracking actions.
- OIG reports with findings, corrective actions are accomplished or implemented, and at least 75% of audit findings are cleared within one year after transmittal of the report to the grantee.

**Unacceptable Performance Standards:**

- Takes necessary actions to establish grantee authorizations in LOCCS so that grantees have LOCCS access to funds in a timely manner. 50% or less of grantees receive LOCCS access within 45 days of their requests.
- Works with grantees to resolve LOCCS drawdown problems, with 70% or less of the drawdown problems resolved within four days or more of receipt.
- Monitors un-liquidated obligations reports for assigned grantees every 4-5 months; follows-up with grantees, initiates action to reprogram or de-obligate funds for less than 70% of projects that are no longer viable.
- Based on monitoring of un-liquidated obligations reports for assigned grantees and follow-up with impacted grantees, identifies less than 70% of grants that will still be viable as of the end of the Fiscal Year, and requests appropriate extensions.
- Works with grantees to resolve less than 70% of IDIS access problems within 15 days.
- Takes necessary actions to establish grantee authorizations in the IDIS systems so that grantees have timely IDIS access to do data entry and drawdown of funds; less than 70% of documentation is processed within three days of receipt.
- Completes review and transmittal of less than 70% of audit reports received for assigned grantees, exceeds 91 days of receipt.
- Less than 70% of audit response actions are reviewed and necessary follow-up taken with the grantee within the established time frame.
- Audit response actions for OIG audits are made within the prescribed time frame set by OIG for less than 70% of the findings and required tracking actions.
- OIG reports with findings and corrective actions are accomplished or implemented, and less than 70% of audit findings are cleared within one year after transmittal of the report to the grantee.

ASSUMES  
Reports