

Performance Appraisal

U.S. Department of Housing
and Urban Development

Employee Name:		Employee's SSN:	Organizational Segment: CPD	Organization Code:
Position Title: Financial Analyst		Series and Grade:	Date of Appraisal Period: From To	Date Rating Made:
<input type="checkbox"/> GM (PMRS Term. Provisions)		<input checked="" type="checkbox"/> GS (General Schedule)	<input type="checkbox"/> WG (Wage Grade)	<input type="checkbox"/> GS-AFGE
<input type="checkbox"/> WG-AFGE				

Rating Official (Signature & Date)	Employee (Signature & Date)
X	X
Reviewing Official (Signature & Date)	
x	

Note: Employee signature indicates only that the rating has been discussed with the employee and does not signify agreement or disagreement with the rating.

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

Element Ratings:

Critical Element No.	Outstanding	Highly Successful	Fully Successful	Marginally Successful	Unacceptable	Date	Supervisor's Initials	Employee's Initials
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Summary Ratings

Outstanding Highly Successful Fully Successful Marginally Successful Unacceptable

Employee Comments

Rating Official/Reviewing Official Comments

Sensitive Information: The information collected on this form is considered sensitive and is protected by the Privacy Act. The Privacy Act requires that these records be maintained with appropriate administrative, technical, and physical safeguards to ensure their security and confidentiality. In addition, these records should be protected against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom the information is maintained.

Elements & StandardsU.S. Department of Housing
and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
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**Critical Element Description: Strengthen Communities--
Managing Competitive Grantee Programs**

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 standards for Fully Successful:

- Completes reviews of applications from Continuum of Care applicants at least 10 days before the deadline established by Headquarters.
- Completes reviews of technical submissions so that grant agreements are executed for 75% of assigned conditional homeless awards by August 15.
- 75% of reviews of other assigned competitive awards are completed by August 15.
- 85% of Performance Report Reviews are completed no later than 120 days from date of receipt by HUD.
- Grants are managed and documents reviewed for completeness, technical accuracy and regulatory compliance. Reviews and recommendations are exceptionally well done, and are completed, documented and provided to the supervisor for final disposition.
- Grant activities are documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate at least 85% of the time.

Fully Successful Performance Standards:

- Completes reviews of applications from Continuum of Care applicants at least 5 days before the deadline established by Headquarters.
- Completes reviews of technical submissions so that grant agreements are executed for 60% of assigned conditional homeless awards by August 15.
- 60% of reviews of other assigned competitive awards are completed by August 15.
- 70% of Performance Report Reviews are completed no later than 120 days from date of receipt by HUD, unless the supervisor grants an extension.
- 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.
- 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.
- 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.

Unsatisfactory Performance Standards:

Performance meets two or more of the following criteria:

- Submits reviews of Continuum of Care applications that are incomplete or after the deadline established by Headquarters.
- Completes reviews of technical submissions so that grant agreements are executed for less than 60% of assigned conditional homeless awards by August 15.
- Less than 60% of reviews of other assigned competitive awards are completed by August 15.
- Less than 60% of Performance Report Reviews are completed no later than 120 days from date of receipt by HUD, unless the supervisor grants an extension.
- Grants are not managed as directed and documents are not adequately reviewed for completeness, technical accuracy and regulatory compliance. Reviews and recommendations are incomplete and inadequately documented.
- Grant activities are not documented in official office files and GMP. Documentation recorded in GMP is complete and technically accurate less than 60% of the time.
- Fails to manage assigned workload in accordance with Department policies and CPD's Grant Management System, and fails to keep supervisor informed of major issues and fails to identify potential delays prior to becoming critical.

Actual Accomplishments:

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Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.: 4
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Critical Element Description: Financial Management and Funds Control--

Performs all internal funds control and accounting functions for the CPD Division. Performs all necessary actions for grantees to access funds using the LOCCS system.

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 standards for Fully Successful, maintains logs to demonstrate that the following standards are met:

- Follows up to ensure that at least 90% of budgets are accurately spread in LOCCS no later than 15 days after posting in LOCCS by Accounting.
- Ensures that at least 90% of funds returned to the Department from grantees in amounts less than \$2,000 are properly processed and submitted to Accounting within two days of receipt.
- Works with grantees to establish grantee authorizations in LOCCS so that grantees have LOCCS access to funds in a timely manner.
- At least 90% of LOCCS drawdown problems are addressed within eight days of notification.
- Works with grantees and CPD Reps to address 75% of LOCCS access problems within eight days.

Fully Successful Performance Standards:

Maintains logs to demonstrate that the following standards are met:

- Follows up to ensure that at least 80% of budgets are accurately spread in LOCCS no later than 15 days after posting in LOCCS by Accounting.
- Ensures that at least 75% of funds returned to the Department from grantees in amounts less than \$2,000 are properly processed and submitted to Accounting within two days of receipt.
- Works with grantees to establish grantee authorizations in LOCCS so that grantees have LOCCS access to funds in a timely manner.
- At least 80% of LOCCS drawdown problems are addressed within eight days of notification.
- Works with grantees and CPD Reps to address 65% of LOCCS access problems within eight days.

Unsatisfactory Performance Standards:

Performance meets two or more of the following criteria:

- Follows up to ensure that less than 80% of budgets are accurately spread in LOCCS no later than 15 days after posting in LOCCS by Accounting.
- Ensures that less than 75% of funds returned to the Department from grantees in amounts less than \$2,000 are properly processed and submitted to Accounting within two days of receipt.
- Does not work with grantees to establish grantee authorizations in LOCCS so that grantees have LOCCS access to funds in a timely manner.
- Less than 80% of LOCCS drawdown problems are addressed within eight days of notification.
- Works with grantees and CPD Reps to address less than 65% of LOCCS access problems within eight days.

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

Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.:
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Critical Element Description: Audits Management--

Audit submissions received from FAC or the IG are accurately tracked and processed in accordance with the Audit Management System [AMS] Handbook and all prevailing guidance provided by HQ. Audit resolution actions are cost effective and technically accurate in accordance with applicable regulations and program guidance as documented in the appropriate tracking or data entry systems.

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 standards for Fully Successful:

- Completes review and transmittal of management letters to grantees of at least 90% of audit reports received with findings, within 90 days of receipt.
- At least 90% of audit response actions are reviewed and necessary follow-up taken with the grantee within the time frame established by management.
- 75% of prior year audit findings are closed out by the end of the current fiscal year, unless the supervisor approves in writing the actions taken to date to close the findings, and all actions are documented in the audit tracking system and program files.
- Audit response actions for OIG audits are made within the prescribed time frame set by OIG for at least 90% of the findings and required tracking actions.
- For OIG audit reports with findings, corrective actions are accomplished or implemented, and at least 85% of OIG audit findings are cleared within one year or a time frame approved by OIG after transmittal of the report to the grantee.

Fully Successful Performance Standards:

- Maintains and provides current information in the required audit log and tracking system, and updates the log and tracking system as needed, but not less frequently than the first working day of each month, to ensure that all letter dates and final action dates are accurately reported in the log and tracking system.
- Completes review and transmittal of management letters to grantees of at least 80% of audit reports received with findings, within 90 days of receipt.
- At least 80% of audit response actions are reviewed and necessary follow-up taken with the grantee within the time frame established by management.
- 60% of prior year audit findings are closed out by the end of the current fiscal year, unless the supervisor approves in writing the actions taken to date to close the findings, and all actions are documented in the audit tracking system and program files.
- Audit response actions for OIG audits are made within the prescribed time frame set by OIG for at least 80% of the findings and required tracking actions.
- For OIG audit reports with findings, corrective actions are accomplished or implemented, and at least 75% of OIG audit findings are cleared within one year or a time frame approved by OIG after transmittal of the report to the grantee.

Unsatisfactory Performance Standards:

Performance meets two or more of the following criteria:

- Fails to maintain and provide current information in the required audit log and tracking system, and does not update the log and tracking system as needed, but not less frequently than the first working day of each month, to ensure that all letter dates and final action dates are accurately reported in the log and tracking system.
- Completes review and transmittal of management letters to grantees of less than 80% of audit reports received with findings, within 90 days of receipt.
- Less than 80% of audit response actions are reviewed and necessary follow-up taken with the grantee within the time frame established by management.
- Closes out less than 50% of prior year audit findings by the end of the current fiscal year, unless the supervisor approves in writing the actions taken to date to close the findings, and all actions are documented in the audit tracking system and program files.
- Audit response actions for OIG audits are made within the prescribed time frame set by OIG for less than 80% of the findings and required tracking actions.
- For OIG audit reports with findings, corrective actions are accomplished or implemented, and less than 75% of OIG audit findings are cleared within one year or a time frame approved by OIG after transmittal of the report to the grantee.

Actual Accomplishments:

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and Urban Development

Date Assigned:	Reviewing Official's Initials:	Supervisor's Initials:	Employee's Initials:	Rating Date:	Rating:	Element No.: 6
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Critical Element Description: Written Communication--

Writes reports, reviews and briefing papers for HUD use. Writes letters to grantees, local and state and nonprofit officials, members of Congress or the general public.

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 standards for Fully Successful:

- Interprets and clearly states complicated issues correctly, handles sensitive issues persuasively, and/or addresses adverse comments tactfully.
- Written products rarely require rewrites and demonstrate exceptional insight into subject matter.
- Written inputs to GMP clearly reflect performance, accurately update information, document findings and corrective actions, and manage and track assigned CPD grantees.
- Regularly contributes to the reporting requirements of CPD.

Fully Successful Performance Standards:

- Researches needed material thoroughly and completely.
- Writes material that accurately reflects HUD and office policies.
- Written products are technically and grammatically correct, logical, and written in a style appropriate for the target audience.
- Written inputs are made into GMP to assess performance, update information, document findings and corrective actions, and manage and track assigned grantees. The inputs may require some revisions.

Unsatisfactory Performance Standards:

- Does not research or inadequately researches needed material.
- Written products are not grammatically correct, clear, complete, or do not accurately reflect current regulations or policies.
- Written inputs are not made into GMP, or the inputs made are of such poor quality that revisions are nearly always required.

Actual Accomplishments: