

Module 1: Introduction

Estimated Time to Complete Module 1

15 minutes

LESSON
Lesson 1: Welcome and Introductions
Lesson 2: The HUD Performance Management Pilot Program
Lesson 3: Course Overview

Module Objectives

At the conclusion of this module, you will be able to:

- ◆ State the purpose of the pilot program and its intended outcomes

Key Milestones

Dates	Activities
March 20 – March 24, 2006	Communicate with HQ and field employees of Admin/CPD (establish workgroups to develop sample elements and standards)
March 27 – April 7, 2006	Schedule and conduct training
April 24, 2006	Performance plans put in place for all employees
During the month of July, 2006	Progress reviews conducted (at least 45 days)
September 30, 2006	Final ratings (minimum 90 days under elements/standards)
October 1, 2006 – September 30, 2007, and each fiscal year thereafter	Rating cycle time period changes for all HUD employees

Module 2: Introduction to Performance Management at HUD

Estimated Time to Complete Module 2

15 minutes

LESSON
Lesson 1: HUD Policies, Procedures, and Guidance
Lesson 2: HUD Performance Management Process
Lesson 3: Roles and Responsibilities in Performance Management

Module Objectives

At the conclusion of this module, you will be able to:

- ◆ Describe the HUD performance management process
- ◆ Identify who to contact about the policies and regulations that outline the regulatory and procedural requirements for performance management
- ◆ List the roles and responsibilities of managers, supervisors, and employees in performance management

GUIDELINES FOR MEETING REGULATORY REQUIREMENTS: PERFORMANCE APPRAISAL SYSTEMS

OVERALL POLICY

The overall policy for the agency's performance appraisal systems should reflect the following:

- ◆ The agency has OPM-approved performance appraisal systems, and has established agency-wide policies for the application and operation of performance appraisals for employees covered. [5 CFR 430.204(b), 430.209(a), and 430.312]
(Note: Agency must also obtain OPM approval prior to implementing changes that modify any element of the system subject to regulatory requirements. [5 CFR 430.209(a)])
- ◆ At a minimum, coverage of systems includes General Schedule (GS), prevailing rate, senior professionals (SL and ST employees), and senior executives. [5 U.S.c. 4301(2) and 5 CFR 430.202(a)(2)]
- ◆ The agency identifies employees covered by appraisal system(s). [5 CFR 430.204(b)(2)]
- ◆ The agency periodically evaluates the effectiveness of its performance management system(s) and implements improvements as needed. [5 CFR 430.311(b)]
- ◆ The agency designates an official appraisal period for which a performance plan shall be prepared, during which performance shall be monitored, and for which a performance appraisal shall be prepared. [5 CFR 430.206(a)]
- ◆ The system includes methods for ongoing appraisal, including, but not limited to, one or more progress reviews during each appraisal period. [5 CFR 430.207(b)]
- ◆ The agency determines the number of performance levels at which critical and non-critical elements may be appraised. [5 CFR 430.206(b)(7)]
- ◆ (Note: Performance plans established under programs using only two summary levels (Pass/Fail) shall not include non-critical elements. [5 CFR 430.206(b)(6)])
- ◆ The agency determines the pattern of summary levels that may be assigned in a rating of record. [5 CFR 430.208(d)]
- ◆ At a minimum, standards are established at the "Fully Successful" level for all critical elements. [5 CFR 430.206(8)(i)(8)]
- ◆ The agency establishes criteria and procedures to address employee performance for employees who are on detail, who are transferred, or for other special circumstances as established by the agency. [5 CFR 430.205(b)]

PLANNING

The performance appraisal systems address planning by:

- ◆ Establishing employee performance plans including critical elements and performance standards. [5 CFR 430.204(b)(1)(i)]
- ◆ Communicating performance plans to employees at the beginning of an appraisal period. [5 CFR 430.204(b)(1)(ii)]

GUIDELINES FOR MEETING REGULATORY REQUIREMENTS: PERFORMANCE APPRAISAL SYSTEMS

- ◆ Planning and communicating performance elements and requirements that are linked with strategic planning initiatives. [5 CFR 430.304(b)(1)]
- ◆ Establishing an official performance appraisal period of at least 90 days, for which an annual summary rating must be prepared. [5 CFR 430.304(5)(c)(1)]
- ◆ Ensuring employees have current written, or otherwise recorded, performance plans based on work assignments and responsibilities. [5 CFR 430.206(b)(3)]
- ◆ Providing performance plans to employees at the beginning of the rating period (normally within 30 days). [5 CFR 430.206(b)(2)]
- ◆ Ensuring performance plans include at least one critical element that addresses individual performance. [5 CFR 430.206(b)(4)]

MONITORING

The performance appraisal systems address monitoring by:

- ◆ Evaluating each employee during the appraisal period on the employee's elements and standards. [5 CFR 430.204(b)(1)(iii)]
- ◆ Recognizing and rewarding employees whose performance so warrants. [5 CFR 430.204(b)(1)(iv)]
- ◆ Assisting employees in improving unacceptable performance. [5 CFR 430.204(b)(1)(v)]
- ◆ Monitoring progress in accomplishing elements and requirements. [5 CFR 430.304(b)(3)]
- ◆ Completing progress reviews during the appraisal period. [5 CFR 430.207(b)]

RATING


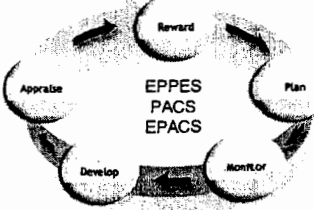
The performance appraisal systems address rating by:

- ◆ Reassigning, reducing in grade, or removing employees who continue to have unacceptable performance, but only after an opportunity to demonstrate acceptable performance. [5 CFR 430.204(b)(1)(vi)]
- ◆ Properly completing ratings of record as soon as practicable after the end of the appraisal period based on agency guidelines. [5 CFR 430.208(a)]
- ◆ Properly deriving and assigning summary rating levels. [5 CFR 430.208(b)]
- ◆ Having unacceptable ratings (Level I) reviewed and approved by a higher level management official. [5 CFR 430.208(e)]

3/1/03



es

Lesson 2: HUD Performance Management Process

 HUD Performance Management Process	Notes:
<ul style="list-style-type: none">• Planning work and setting expectations• Continually monitoring performance• Developing the capacity to perform• Periodically rating performance• Rewarding good performance  <p style="text-align: right;">4</p>	<p>Notes section with horizontal lines for writing.</p>

Handwritten notes:
EPPES: April 2006 - April 2007
PACS: June 2007 - ...
EPACS: ...
... did not ...
... work done before ...

Lesson 3: Roles and Responsibilities in Performance Management

 Roles and Responsibilities	Notes:
<ul style="list-style-type: none">• Performance management success depends on YOU!• Involve the employee in the process• Develop performance plans• Follow up and follow through  <p data-bbox="766 724 790 756">5</p>	<p data-bbox="877 346 1380 388">Performance Management</p> <p data-bbox="877 409 1380 462">Introduction to Performance Management</p> <p data-bbox="877 472 1380 514"> </p> <p data-bbox="877 525 1380 567"> </p> <p data-bbox="877 577 1380 619"> </p> <p data-bbox="877 630 1380 672"> </p> <p data-bbox="877 682 1380 724"> </p> <p data-bbox="877 735 1380 777"> </p> <p data-bbox="877 787 1380 829"> </p> <p data-bbox="877 840 1380 882"> </p> <p data-bbox="877 892 1380 934"> </p> <p data-bbox="877 945 1380 987"> </p> <p data-bbox="877 997 1380 1029"> </p>

MANAGER AND SUPERVISOR ROLES AND RESPONSIBILITIES

- ◆ Follow the organization's policies, procedures, and guidelines for performance management
- ◆ Adhere to the performance management system requirements:
 - Establish clear expectations for employees and hold employees accountable for accomplishing them
 - Provide honest and timely feedback – both formal and informal
 - Support employees' growth and development
 - Make meaningful distinctions among employees based on performance and contributions
 - Recognize and reward desired performance
 - Address undesirable performance
 - Remain focused on helping employees to succeed
- ◆ Inform employees of the agency's mission and organizational strategic goals, plans, and activities of the work unit, and inform employees of their related duties and responsibilities
- ◆ Encourage employee participation in developing performance plans
- ◆ Adhere to laws and regulations governing merit system principles, prohibited personnel practices, and equal employment opportunity
- ◆ Provide leadership to employees and to help create a supportive performance management culture
- ◆ Be fair, reasonable, accountable, consistent, and timely
- ◆ Document instances of unacceptable performance such as missed deadlines or poor quality work products
- ◆ Communicate honestly and directly
- ◆ Ask for assistance when you need help
- ◆ Serve as rating officials for those employees directly reporting to you. In this role, you have the following responsibilities:
 - Develop critical elements that address individual accomplishments on key programmatic accomplishments
 - Provide employees with written performance plans that identify the critical elements and performance standards related to their specific duties, responsibilities, and expected levels of performance
 - Conduct and document at least one formal progress review around the midpoint of the appraisal period and provide written feedback to employees
 - Conduct performance review meetings
 - Complete appraisals which include determining and evaluating employees' actual performance and assigning ratings
 - Submit tentative rating and scores
 - Conduct evaluation feedback meetings
- ◆ Recommend personnel actions (including awards), performance-based actions, and/or training

EMPLOYEE ROLES AND RESPONSIBILITIES IN PERFORMANCE MANAGEMENT	
PLANNING STAGE	<ul style="list-style-type: none"> ◆ Review draft performance plan ◆ Ensure that you understand performance expectations <ul style="list-style-type: none"> - Elements and standards - Specific tasks and projects to be accomplished - How your plan is linked to the organization's goals and objectives and the agency's strategic plan ◆ Discuss training and development <ul style="list-style-type: none"> - Prepare an individual development plan
MONITORING STAGE	<ul style="list-style-type: none"> ◆ Ask for feedback ◆ Actively participate in the progress reviews <ul style="list-style-type: none"> - Accomplishments - Improvements, if necessary - Customer feedback - Performance and training/development needs and requirements - Revise/update your individual development plan, if necessary ◆ Initiate a progress review
DEVELOPING STAGE	<ul style="list-style-type: none"> ◆ At a minimum, discuss your development and training needs and requirements: <ul style="list-style-type: none"> - During performance planning - At mid-term progress review - At end of appraisal period ◆ Consider: <ul style="list-style-type: none"> - Immediate and long-term career goals - Any required training – to meet certification requirements or ongoing professional development requirements - Training needed to develop necessary skills and competencies - Desired training and development to meet long-term goals
RATING STAGE	<ul style="list-style-type: none"> ◆ Discuss: <ul style="list-style-type: none"> - Accomplishments and work samples - Customer feedback - Training and development needs and requirements, and if appropriate, growth opportunities - Individual Development Plan ◆ Ask questions for clarification
AWARDING STAGE	<ul style="list-style-type: none"> ◆ Clarify your understanding of the awards that you receive

Module 3: The Performance Pyramid: Aligning Employee Performance with HUD's Strategic Goals

**Estimated Time to
Complete Module 3**

30 minutes

LESSON
Lesson 1: The Performance Pyramid
Lesson 2: A Method to Establish Work Unit and Individual Goals
Lesson 3: Distinguishing Activities and Accomplishments

Module Objectives

At the conclusion of this module, you will be able to:

- ◆ Describe the key components of the performance pyramid and how they relate to performance management
- ◆ Describe how to establish work unit goals by the cascading method
- ◆ Formulate individual level goals that are aligned with HUD's strategic goals and work unit goals
- ◆ Given a statement, distinguish between an employee accomplishment vs. an activity

Module 3: The Performance Pyramid: Aligning Employee Performance with HUD's Strategic Goals

Performance Pyramid

Outcomes

Outputs

Accomplishments

Agency Goal

Work Unit Goal

Employee Goal

3

Notes:

Agency Outcomes

- End results of agency's products and services
- Examples
 - Increase homeownership opportunities
 - Ensure equal opportunity in housing

Outcomes

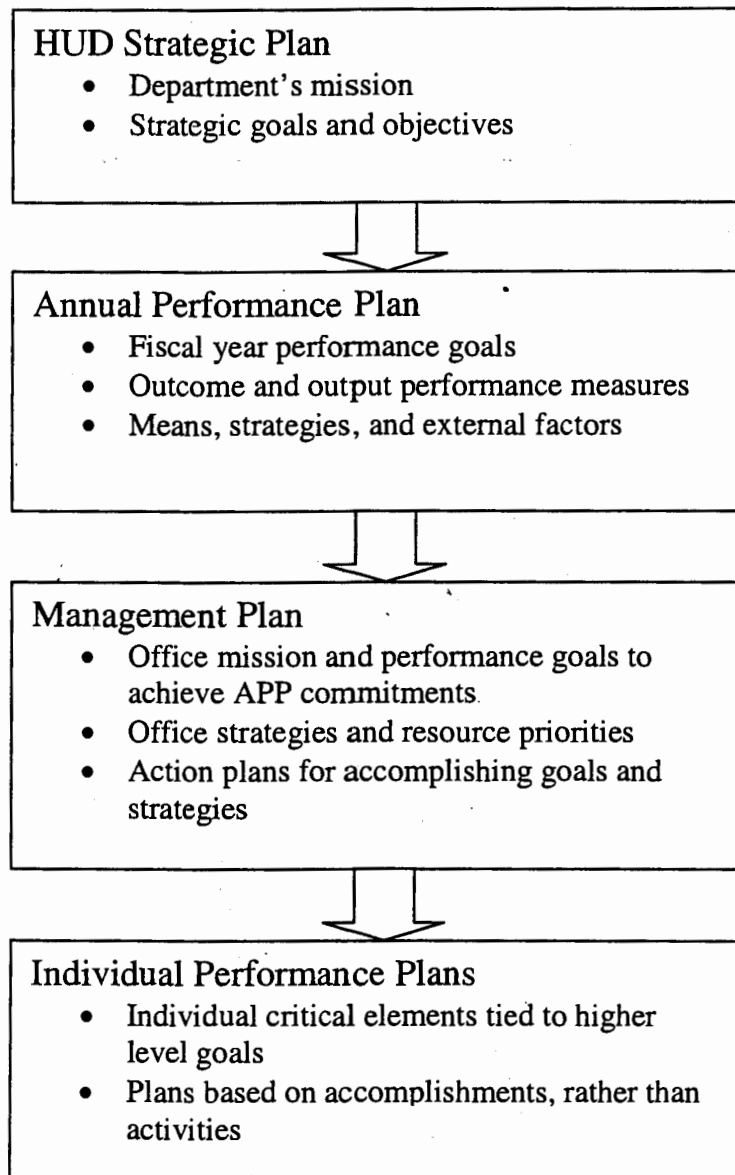
Outputs

Accomplishments

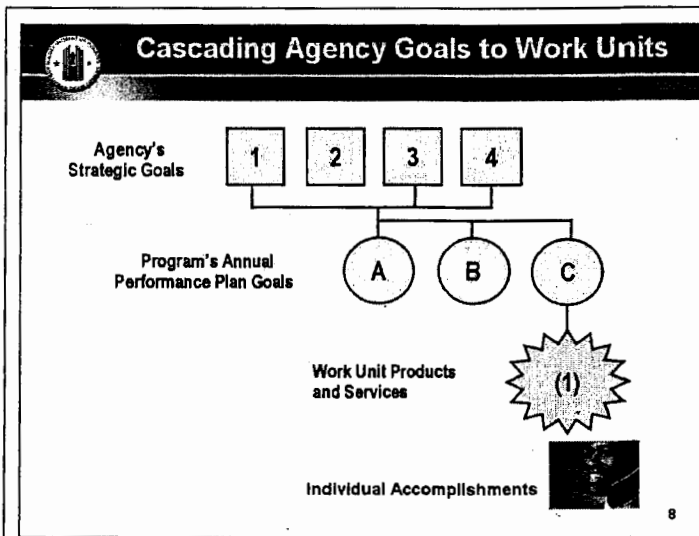
4

Notes:

HUD Planning and Performance Management Framework



Lesson 2: A Method to Establish Work Unit and Individual Goals



Notes:

A series of horizontal dashed lines provided for taking notes.

At least 1000 other staff

Activity 3-1: Accomplishments and Activities

Directions

For each of the following activities, rephrase the statement so that it becomes an accomplishment. You may need to add additional information.

Activity	Accomplishment
1. Reviews applications for CPD programs.	<i>Review applications for CPD programs</i>
2. Answers telephone inquiries regarding leave requests.	
3. Responds to public inquiries regarding program applications.	<i>Respond to public inquiries regarding program applications</i>
4. Develops Statements of Work (SOWs) for required services from contractor.	
5. Gathers statistical data and writes reports.	<i>Gather statistical data and write reports</i>
6. Prepares draft policy guidelines for field offices.	
7. Develops and makes recommendations for the acquisition of computer software.	
8. Develops technical training materials on lender claims and claim rates.	
9. Develops procedures for improved administration of the Neighborhood Initiative program.	
10. Inputs and updates information into the Line of Credit Control System (LOCOS).	<i>Input and update information into the Line of Credit Control System (LOCOS)</i>