

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
SALARIES AND EXPENSES, HOUSING AND URBAN DEVELOPMENT
BUDGET ACTIVITY 14: FIELD POLICY AND MANAGEMENT

SCOPE OF ACTIVITY

The Office of Field Policy and Management (FPM) provides management oversight to 80 Regional and Field Office Directors. FPM communicates Secretarial priorities and policies to the field, ensures the effective pursuit of Secretarial initiatives and special projects, and other management and administrative functions. FPM is uniquely positioned in the Regional and Field Offices to effectively build partnerships and deliver technical assistance and outreach to public agencies and private organizations. FPM serves the full range of HUD's customers (both individual and institutional) supporting every program area (e.g., housing, community planning and development, public and Indian housing and fair housing). Moreover, FPM has the responsibility for maintaining effective relations with and serving as the principal point of contact for both industry groups and State/local elected officials. For this reason, in late 2006, FPM was tasked with establishing a new operational component: disaster recovery coordinators. This function carries the responsibilities of coordinating HUD's field responses to disasters, including the planning and development of field office disaster relief plans.

FPM's Regional and Field Office Directors lead the development and implementation of local management plans, including performance measures and strategies for each jurisdiction which ensure integrated program delivery that advances the Department's strategic goals and objectives. The plans reflect rationales for accomplishing particular goals and objectives in ways that are responsive to community needs and maintain a high level of customer service.

Each year, FPM establishes national management plan goals supporting each of HUD's strategic goals. Some highlights include:

- taking the lead in supporting homeownership opportunities by conducting marketing and outreach activities with a special emphasis on increasing the use of FHA mortgage products and promoting minority homeownership;
- striving to end chronic homelessness through fostering regional council partnerships, conducting local outreach and training activities, and other activities to support efforts for ending chronic homelessness;
- maintaining continuity of operations plans (COOP) locally in 80 field offices;
- coordinating, monitoring and evaluating the effectiveness of an integrated disaster relief service delivery for the Department;
- upholding customer service standards in each jurisdiction;
- building organizational capacity among faith-based groups through providing technical assistance to faith-based and community organizations; and
- promoting Small Business development.

The attached charts display detailed staffing and workload estimates based on the Resource Estimation and Allocation Process (REAP) baseline data.

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WORKLOAD

The Assistant Deputy Secretary for Field Policy and Management manages the operations of FPM to advance the strategic goals of the Department. Through the Regional and Field Office Directors, the Assistant Deputy Secretary establishes management priorities for "front office" (i.e., non-programmatic) field operations and coordinates Secretarial initiatives to ensure effective use of resources for maximum positive impact. In addition, FPM is tasked with developing mechanisms which: ensure that critical field program delivery issues are addressed; assess program impacts and customer service at the local level; provide operational feedback designed to constructively influence program design and Departmental policy-making. In addition, FPM is now responsible for coordinating HUD's disaster relief plans in the field.

The Assistant Deputy Secretary directly supervises the Regional Directors, who in turn have direct supervision over the Field Office Directors within their Regions. The Regional Directors and Field Office Directors are the "operational managers" in each of the field offices serving as the senior management official in their respective offices. Regional and Field Office Directors ensure that limited staff and other resources are used to maximum effect to accomplish Departmental priorities and that the component parts of each field office effectively function as a common enterprise in achieving Departmental goals, both to serve our customers well and use resources efficiently.

TRAVEL

The table below identifies travel requirements for FPM headquarters and field staff activities.

	ACTUAL 2006	ESTIMATE 2007	ESTIMATE 2008	INCREASE + DECREASE - 2008 vs 2007
	(Dollars in Thousands)			
Travel (HQ)	\$222,750	\$249,480	\$280,000	+\$30,520
Travel (Field)	<u>668,250</u>	<u>674,520</u>	<u>641,000</u>	<u>-33,520</u>
Total	891,000	924,000	921,000	-3,000

For fiscal year 2008, the funding required for travel is estimated at \$921 thousand, this represents a \$3 thousand decrease over fiscal year 2007. Travel is a critical resource to the field management function. Funding for travel is crucial to FPM's mission of furthering the communications and initiatives of the Department in support of the President's Management Agenda (PMA). These travel dollars will be used to expand FPM's mission to include disaster recovery coordination. This function was established after experience showed that there were opportunities to improve disaster response coordination and that improved coordination should be achieved nationwide, not just in "hurricane country". In addition, these travel funds will also be used to provide continual services for both headquarters and field offices for travel requirements in support of the Secretary's priorities. The requested travel budget for fiscal year 2008 will provide funding for the following requirements below:

- Coordinating HUD's Response to Disasters - (\$40 thousand). Funding will support travel costs and General Services Administration (GSA) cars for 6 Disaster Recovery Coordinator positions. This includes planning and developing field offices' disaster relief plans, enhancing the capacity of individual field offices disaster response capacity, and implementing and reporting on results. In addition, these funds will support coordinating Federal, state and local officials and other agencies to provide efficient response to short-term disasters and aid in long-term recovery activities to ensure effective program linkage between agencies. The disaster coordinators will be responsible for covering multiple regions, which will require significant travel. There will be five senior coordinators covering all of the United States: the West Coast; the Mid-Atlantic/Great Lakes area; the Northeast; the Southeast and the Southwest areas. The incumbents will require frequent overnight stays throughout their large geographic jurisdictions. They will be required to meet with local officials on a

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regular basis to ascertain their needs in the event of a disaster. In addition, they will be responsible for helping coordinate the housing of displaced residents, which will require coordination with local and state government in concert with HUD and other Federal agency partners. These positions are a direct result of the "lessons learned" by Federal authorities in wake of Hurricane Katrina disaster. The Katrina disaster demonstrated the need for enhanced pre-planning and direct response from HUD.

- FPM's Headquarters Programmatic Support - (\$180 thousand). Travel funds are needed to support outreach activities and invitational travel in response to programmatic requests from Public Affairs, Congressional Intergovernmental Relations, Interagency Homeless Coordinators, COOP assignments, conference attendance, outreach activities, Regional Directors' meetings and field reviews.
- Regional and Field Office Travel - (\$641 thousand). These funds support travel of FPM staff in 80 regional and field offices throughout the country. These funds support conducting cross program coordination; monitoring and evaluation of customer service; serving as principal point of contact with elected officials, HUD customers groups and public and private interest groups on the President's Management Agenda; Secretarial initiatives; Department goals; and special projects.
- Quality Management Reviews (QMRs) - (\$10 thousand). Travel dollars under this activity will provide headquarters managers and headquarters field management officers' the opportunity to participate on departmental QMR teams and conduct on-site technical assistance to the offices visited.
- Counterpart Meeting for Regional Web Managers - (\$10 thousand). Funding under this initiative will help further efforts at capacity building, problem solving and the effective dissemination of best practices designed to ensure quality regional web based activities throughout the field.
- FPM Peer Reviews and Consultation of Small Field Offices - (\$10 thousand) FPM has staff in each of HUD's 80 field offices. The smallest of these, 'FPM only' offices, are too small to be evaluated under the Departmental Quality Review Process. They benefit from on-site reviews conducted by FPM peers to build capacity, problem solve, and share innovative practices. These peer reviews enhance field performance in several ways: 1) standardizes an assessment strategy for small offices; 2) creates a national peer network among small Field Office Directors giving them vital technical support and guidance; and 3) doubles as a leadership training program. In 2008, FPM plans to conduct small office consultation in 5 remote field offices. FPM staff analysts will be eligible to serve on peer reviews teams giving them a development opportunity to shadow senior managers and letting them build their leadership skills needed to succeed as the next generation of Field Office Directors.
- Short-term Coverage for Vacant Management Positions in the Field - (\$10 thousand). FPM anticipates numerous management vacancies in fiscal year 2007. When attrition occurs in the smallest field offices travel funds are needed to temporarily cover the office with an Acting Field Office Director from outside the geographic jurisdiction.
- Travels for Training - (\$10 thousand). Travel funds are needed to support attendance and participation at national conferences; skill enhancement training sessions; and individual and group development training.
- Succession Planning Initiative - (\$10 thousand). FPM anticipates significant attrition among its management ranks within the next couple of years. These funds will support rotational assignments of mid-level and senior field staff, the opportunity to develop knowledge and skills to assume senior level and management positions. FPM has established an advisory committee that will review proposals for grade and position enhancements submitted by the Regional Directors. This process supports FPM's ability to determine which positions and skills are needed to effectively run each office. Favorable recommendations could result in rotational assignments, merit staffing, promotions, grade increases and training to enhance skills of current staff.

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PRINTING

This fiscal year 2008 budget requests a total of \$5 thousand for printing. This reflects a \$4 thousand increase over fiscal year 2007, request of \$1 thousand. These funds will support printing, reproduction services for invitations, announcements, posters, agendas, training materials and booklets.

CONTRACTS

	<u>ACTUAL</u> <u>2006</u>	<u>ESTIMATE</u> <u>2007</u>	<u>ESTIMATE</u> <u>2008</u>	<u>INCREASE +</u> <u>DECREASE -</u> <u>2008 vs 2007</u>
	(Dollars in Thousands)			
General Support	<u>\$17</u>	<u>\$21</u>	<u>\$25</u>	<u>+\$4</u>
Total	17	21	25	+4

CONTRACTS

Funding requested for contracts in fiscal year 2008 is \$25 thousand; this represents an increase over fiscal year 2007 of \$4 thousand. These funds will support headquarters and field staff attendance and registration fees at national and industry-related training and conferences, symposiums, presentations, workshops, individual and group training. Funding under this category will provide training in the following areas: disaster recovery, public safety and emergency preparedness, customer service, leadership, team building and supervisory and management training.

SUPPLIES AND MATERIALS

Under this object class, FPM is requesting a total of \$8 thousand for fiscal year 2008. The fiscal year 2007 request is \$3 thousand and reflects an increase of \$5 thousand over fiscal year 2008. This object class supports the purchase of office supplies, small information technology purchases like power strips, toner cartridges, training videos, flash drives, batteries and binders. Funding under this object class will also support the purchase of crosscutting or confetti cut shredders to safeguard sensitive data and keep us in compliance with the Department's guidelines for protecting sensitive information.

FIELD POLICY AND MANAGEMENT
Personal Services
Summary of Change
(Dollars in Thousands)

<u>Personal Services</u>	<u>FTE</u>	<u>S&E Cost</u>
2006 Actual.....	455	\$51,275
2007 Estimate.....	419	48,650
<u>Changes Due To</u>		
Additional Workdays (2)	0	372
2008 January Pay Raise.....	0	869
2007 January Pay Raise.....	0	293
Staffing increase/decrease.....	-36	-4,250
Other benefit changes.....	0	841
2008 Request.....	383	\$46,775

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FIELD POLICY AND MANAGEMENT
Summary of Requirements by Grade
Salaries and Expenses
(Dollars in Thousands)

	<u>2006</u> <u>Actual</u>	<u>2007</u> <u>Estimate</u>	<u>2008</u> <u>Request</u>	<u>Increase/</u> <u>Decrease</u>
<u>Grade:</u>				
Executive Level IV	0	0	0	0
Executive Service	13	12	11	-1
GS-15	136	120	114	-6
GS-14	70	72	59	-13
GS-13	58	56	49	-7
GS-12	39	30	33	+3
GS-11	7	7	6	-1
GS-10	0	0	0	0
GS-9	25	22	21	-1
GS-8	5	5	4	-1
GS-7	72	59	60	+1
GS-6	6	11	5	-6
GS-5	11	12	9	-3
GS-4	13	12	11	-1
GS-3	0	0	0	0
GS-2	0	0	0	0
GS-1	<u>1</u>	<u>1</u>	<u>1</u>	<u>0</u>
Total Positions	456	419	383	-36
Average ES Salary	\$149,595	\$153,603	\$157,289	+3,686
Average GS Salary	\$88,324	\$90,050	\$92,211	+2,161
Average GS Grade	11.8	11.8	11.8	+0.0

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FIELD POLICY AND MANAGEMENT
Summary of Requirements by Object Class
Salaries and Expenses
(Dollars in Thousands)

<u>Object Class</u>	<u>2006 Actual</u>	<u>2007 Estimate</u>	<u>2008 Request</u>	<u>Increase/Decrease</u>
Personal Services.....	\$51,275	\$48,650	\$46,775	-1,875
Travel and Transportation of Persons.....	891	924	921	-3
Transportation of Things.....	9	0	0	0
Rent, Communications & Utilities.....	0	0	0	0
Printing and Reproduction.....	0	1	5	+4
Other Services.....	17	21	25	+4
Supplies and Materials.....	12	3	8	+5
Furniture & Equipment.....	0	0	0	0
Insurance Claims & Indemnities.....	1	0	0	0
Total Obligations.....	\$52,205	\$49,599	\$47,734	-1,865

**Office of Field Policy and Management
 Performance Measurement Table**

Program Mission: The Assistant Deputy Secretary for the Office of Field Policy and Management provides organizational leadership, communicates Secretarial priorities and policies to Regional and Field Office Directors, ensures the effective pursuit of Secretarial initiatives and special programs.

Performance Indicators	Data Sources	Performance Report		Performance Plan	
		2006 Plan	2006 Actual	2007 Plan	2008 Plan
Homeownership: FPM takes the lead in outreach activities and promotes homeownership events throughout the country for National Homeownership month. In collaboration with program areas, organize and conduct training/educational presentations to housing industry partners and others with specific focus on minority homeownership.	HIPRS/ Management Plan Goals Management Assessment	423	749 Exceeded Goal 177%	400	400
Faith and Community-Based Initiatives: FPM supported conferences and events for faith-based and community organizations. FPM mobilized its 80 Field Offices to help build the capacity of faith and community-based organizations through the provision of over 70 grant-writing workshops throughout the country and over 200 capacity building events.	Management Plan Goals Management Assessment	289	525 Exceeded Goal 182%	300	300
Ending Chronic Homelessness: FPM provided leadership support on the Interagency Council for the Homeless (ICH) task Forces, convened regional councils, participated in the Deputy Secretary's Task Forces on Chronic Homelessness and developed specific goals and objectives to reduce chronic homelessness. FPM designated field coordinators in 10 regions to carry out homeless and faith and community-based initiatives. In addition, FPM assisted local partners in accessing HUD resources for ending chronic homeless through outreach and training.	HIPRS/ Management Plan Goals Management Assessment	332	482 Exceeded Goal 145%	400	400

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Performance Indicators	Data Sources	Performance Report		Performance Plan	
		2006 Plan	2006 Actual	2007 Plan	2008 Plan
<u>Small Business Development:</u> FPM staff participated in over 60 events and conferences with program areas to promote small business participation. In addition, FPM in collaboration with program areas, organize small business conferences/events to make government market-based with competition, innovation and choice.	HIPRS	70	102 Exceeded Goal 146%	80	80
<u>HUD Energy Plan:</u> FPM staff has supported HUD's Energy Plan by conducting over 180 technical assistance or educational events and over 120 interagency events with HUD program area participation to promote HUD's Energy Action Plan.	HIPRS	110	180 Exceeded Goal 164%	120	120
<u>Fair Housing:</u> FPM participated with other program areas in events and other educational activities designed to enhance awareness of fair housing obligations of external partners and collaborated with FHEO and HUD partners to promote Fair Housing Month.	HIPRS	357	529 Exceeded Goal 148%	350	350

EXPLANATION OF PERFORMANCE

The Office of Field Policy and Management is requesting \$47.7 million in Salaries and Expenses funding in 2008. This represents a decrease in funding of \$1.9 million over fiscal year 2007 request of \$49.6 million for Salaries and Expenses funding. The Department's Management Plan provides the operational framework for FPM's efforts in HUD's 80 field offices nationwide. It is a unifying process for Headquarters and Field Offices to work together to plan and implement national goals and local actions in support of HUD's strategic goals, Secretarial priorities, and the President's Management Agenda. Under the leadership of Regional and Field Office Directors, office wide plans are developed with the full participation from all program organizations. These plans ensure local, integrated strategies and articulate required results that meet the needs of the communities and citizens in each office jurisdiction. Regional and Field Office Directors, as the senior management officials in each regional and field office have responsibility for the development and implementation of the officewide management plan. This management plan provides the framework for the efforts of individual program areas as well as cross-programmatic efforts managed and coordinated by FPM. Performance for the Office of Field Policy and Management is most closely related to the Department's Strategic Goal EM: Embrace high standards of ethics, management and accountability.

Explanation of Indicators

HIPRS=HUD Integrated Performance Reporting System (i.e., Management Plan Goals)

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FPM will continue to lead in supporting the Secretary's Departmental Initiatives including homeownership; faith and community-based; and homelessness initiatives.

FPM's efforts in fiscal year 2008 will continue to focus on ensuring the effective management and coordination of Field office operations, with particular emphasis on cross-programmatic Secretarial Initiatives. These initiatives include establishing a new component under FPM which will coordinate HUD's response to disasters, including the planning and development of field office disaster relief plans, and continuing efforts in expanding homeownership, reducing chronic homelessness, expanding opportunities for faith-based and community organizations, and others. With enhanced authority to provide leadership in the field (as reflected in Delegations of Authority executed in fiscal year 2002), Regional and Field Office Directors ensure each field office is functioning as a common enterprise in its delivery of programs and services to each jurisdiction.

In fiscal year 2008, FPM will continue to perform traditional office wide functions such as: liaison to state and local government agencies; liaison to other federal agencies in the field; liaison to industry and client groups; creation and maintenance of local/regional web pages; outreach and public affairs activities; coordination for HUD's emergency preparedness and disaster response efforts and other Federal agencies; and a wide variety of customer service efforts dealing with individuals and groups, as well as public and private sector entities. These activities are often performed on behalf of program operational staff, and allow these specialists to focus on program delivery, management and oversight.

As a result of the delegations of authority from the Deputy Secretary to Regional and Field Office Directors, FPM in each field office now plays a stronger leadership role in development and implementation of the office's management plan and coordination of program delivery, particularly in support of Secretarial initiatives.

Overall Summary of Field Policy and Mangement Staff Requirements

	FTE			Increase + Decrease - 2008 vs 2007
	Actual 2006	Estimate 2007	Estimate 2008	
Headquarters.....	27.9	17.0	17.0	0.0
Field	<u>427.1</u>	<u>402.0</u>	<u>366.0</u>	<u>-36.0</u>
Total.....	455.0	419.0	383.0	-36.0

Summary of Field Policy and Mangement Staff Requirements

	FTE			Increase + Decrease - 2008 vs 2007
	Actual 2006	Estimate 2007	Estimate 2008	
<u>Headquarters Employment</u>				
Provide Field Liaison Support and Guidance	7.1	3.0	3.0	0.0
Develop and Implement COOP Disaster Responses and Recovery Plans	...	4.0	4.0	0.0
Provide Management Support and Guidance	6.8	5.0	5.0	0.0
Provide Administrative Support and Guidance	<u>14.0</u>	<u>5.0</u>	<u>5.0</u>	<u>0.0</u>
Subtotal	27.9	17.0	17.0	0.0
<u>Field Employment</u>				
General Staff Tasks and Mgt Support	7.0	6.0	5.0	-1.0
Execute Secretarial Priorities	105.5	105.0	103.0	-2.0
Develop and Implement COOP Disaster Responses and Recovery Plans	0.0	5.0	5.0	0.0
Perform FPM Regional/Field Office Special Initiatives	23.3	23.0	20.0	-3.0
Coordinate Cross-Program Office Efforts	41.9	41.0	37.0	-4.0
Provide Customer Service	108.4	90.0	80.0	-10.0
Perform Web Management Activities	46.3	45.0	39.0	-6.0
Perform Regional/Field Administrative Duties	18.2	15.0	12.0	-3.0
Perform Public Affairs Activities	33.5	33.0	28.0	-5.0
Support the Federal Executive Board	3.5	3.0	2.0	-1.0
Liaison with External Partners	<u>39.6</u>	<u>36.0</u>	<u>35.0</u>	<u>-1.0</u>
Subtotal	427.1	402.0	366.0	-36.0
Total FPM	455.0	419.0	383.0	-36.0

Detail of Field Policy and Mangement Staff Requirements

Workload Indicator	Fiscal Year 2006			Fiscal Year 2007			Fiscal Year 2008				
	Projected Accomplishment	Projected Unit Cost (Hrs)	FTE	Underfunded Workload/ Allocation	Projected Accomplishment	Projected Unit Cost (Hrs)	FTE	Underfunded Workload/ Allocation	Projected Accomplishment	Projected Unit Cost (Hrs)	FTE
Headquarters Office											
Providing Field Liaison Support and Guidance	80	184.60	7.1		80	78.00	3.0		80	78.60	3.0
Implement COOP Disaster Responses and Recovery Plans	NA	4		4
Provide Management Support and Guidance	80	176.28	6.8		80	130.00	5.0		80	131.00	5.0
Provide Administrative and Budget Support and Guidance	80	363.48	<u>14.0</u>		80	130.00	<u>5.0</u>		80	131.00	<u>5.0</u>
Subtotal			27.9				17.0				17.0
Field Offices											
General Staff Tasks and Mgt Support	NA	...	7.0		6.0		5.0
Execute Secretarial Priorities	NA	...	105.5		105.0		103.0
Develop and Implement COOP Disaster Response and recovery Plans	NA	...	0.0		5.0		5.0
Perform FPM Regional/Field Office Special Initiatives	NA	...	23.3		23.0		20.0
Coordinate Cross-Program Office Efforts	NA	...	41.9		41.0		37.0
Provide Customer Service	NA	...	108.4		90.0		80.0
Perform Web Management Activities	80	1203.02	46.3		80	1170.00	45.0		80	1021.80	39.0
Perform Regional/ Field Administrative Duties	379	99.83	18.2		379	82.32	15.0		379	66.36	12.0
Perform Public Affairs Activities	80	869.70	33.5		80	858.00	33.0		80	733.60	28.0
Support the Federal Executive Board	NA	...	3.5		3.0		2.0
Liaison with External Partners	<u>39.6</u>		<u>36.0</u>		<u>35.0</u>
Total FPM			427.1				402.0				366.0
			455.0				419.0				383.0

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FPM HEADQUARTERS/FIELD EMPLOYMENT

EXPLANATION OF CHANGES FROM 2006 BUDGET ESTIMATE TO 2007 ESTIMATE

FPM's fiscal year 2007 estimated FTE staffing level is 419; this represents a decrease of 36 FTEs compared to fiscal year 2006 staffing level of 455 FTEs. This decrease of 36 FTEs is a result of an overall reduction in the Department's resources. The Office of Field Policy and Management will seek further to streamline its workload activities to absorb the loss in FTEs in the areas of customer service and performing administrative duties.

EXPLANATION OF CHANGES FROM 2007 BUDGET ESTIMATE TO 2008 ESTIMATE

FPM's fiscal year 2008 FTE budget request is 383; this represents a decrease of 36 FTEs compared to fiscal year 2007 current estimate of 419. This decline in FTEs is a result of an overall reduction in the Department's resources. The Office of Field Policy and Management will further streamline its workload activities to absorb the loss in FTEs in the areas of customer service and performing administrative duties.