

Chapter 1. General Provisions

1-1. Purpose.

The purpose of this handbook is to govern the administration of the Department's Upward Mobility Program. Upward Mobility is an important tool for succession planning in helping assure that appropriate talent exists to carry out HUD's mission into the future. Upward Mobility provides specific career development opportunities for employees in lower grade levels who are in positions or occupational series which do not enable them to achieve their full work potential. (See Chapter 3 for additional requirements.) Upward Mobility is consistent with the merit principles for selection and placement and supports efforts to achieve the Department's Affirmative Action objectives.

1-2. Policy and Objectives

It is the policy of HUD to actively engage in efforts to develop general Upward Mobility Programs for Department-wide application. In conformance with this policy, the specific objectives of the Upward Mobility Training Program are:

- To achieve more effective utilization of the capabilities of employees;
- To provide upward and lateral career movement for employees in lower grade levels whose current position or occupational series does not provide for further advancement;
- To provide employees with assistance to identify their career goals, objectives, or interests;
- To make available to employees training and educational opportunities which enhance their qualifications and permit progress into other career fields;
- To motivate employees toward high achievement and create an environment which promotes high morale;
- To expand career training opportunities for employees appointed under special entry level programs such as Schedule A Employment for severely physically disabled individuals or Veterans Readjustment Appointment authority; and

To adhere to recognized merit principles in all evaluations and selections of candidates, and provide equal opportunity to all employees.

1-3. Authority-Key References.

The following are key references on the Upward Mobility Program:

Public Law 89-554, as amended	Government Employees Training Act of 1966
Public Law 92-261 Employment 1972	Equal Opportunity Act of Section 501 of Rehabilitation Act 1973, as amended
Public Law 93-113 of	Civil Service Act of 1978
Public Law 95-454 Reform	Equal Opportunity in the Federal Government
Executive Order 11478 (1969) Employment	Qualification Standards for Positions General Schedule
Handbook of Occupational Groups and Series under the	Labor-Management Relations
5 U.S.C. Chapter 71	

1-4. Responsibilities.

Assistant Secretary for Administration

The Assistant Secretary for Administration is responsible for Department-wide planning, coordination, and evaluation of the Upward Mobility Program; participating in and consulting with employee unions as necessary in the development and implementation of the program; and ensuring that program plans are consistent with any applicable union contracts.

The Assistant Secretary for Administration has responsibility for the overall administration of the Upward Mobility Program and for establishing program policy and procedures.  
Director, Office of Human Resources (Administration).

The Director of Human Resources is responsible for:

Ensuring consistency with HUD's staffing needs, the Department's Merit Promotion Policy, and the Federal Equal Opportunity Recruitment Program (FEORP) Plan;

Participating in the planning, development, implementation, and evaluation of the overall program;

Participating in the development, operation, and evaluation of the budget;

Participating in consultations with employee unions as necessary in developing and implementing the Upward Mobility Program; and

Designating a Departmental Upward Mobility coordinator.

c. Director, HUD Training Academy.

The HUD Training Academy is responsible for advising Upward Mobility Coordinators and Personnel Specialists on training matters, and for approving Individual Training and Development Plans (IDPs) for Headquarters Upward Mobility participants.

d. Academy Training Consultants.

Academy Training Consultants are responsible for advising Field Upward Mobility Coordinators and Personnel Specialists on training matters, and for approving Individual Training and Development Plans for Upward Mobility participants.

e. Director, Office of Departmental Equal Employment Opportunity (ODEEO)

The Director is responsible for participating in the development and review of policy, and procedures and for monitoring the program from an Equal Employment Opportunity/Affirmative Action viewpoint including:

Ensuring consistency with HUD's Affirmative Employment Plans' goals and objectives, and with the Federal Equal Opportunity Recruitment Program (FEORP) Plan;

Providing work force data and related analysis as needed;

Assisting in identifying target positions and/or occupations;

Participating in the overall planning and evaluation

of the program; and

Providing for the participation of Special Emphasis Program Managers in program planning, implementation, and evaluation, as appropriate.

f. Assistant Secretaries and Field Managers.

Assistant Secretaries and Field Managers are responsible for the program's direction, control, and guidance within their organization, ensuring compliance with the procedures and guidelines established by the Department's policy and regulatory instructions including:

Assisting in the overall planning, development, implementation, and evaluation of the Program;

Assisting in identifying target occupations and/or positions; and

Holding managers and supervisors accountable for ensuring that trainees receive training commensurate with the intent of their accelerated training and development plan.

g. Departmental Upward Mobility Program Coordinator (OHR)

The Upward Mobility Program Coordinator is responsible for the overall coordination of the program including:

Providing information to and enlisting the support of management and first-line managers and supervisors on general program criteria;

Ensuring that adequate publicity is given to the program;

Developing a Departmental training agreement;

Coordinating the development of any necessary forms used in the program such as Individual Training and Development Plans, applications, surveys, and evaluation forms; and

Taking the lead role in annually monitoring and evaluating the Department's program as described in Section 3-10.

Field Upward Mobility Coordinator.

Field Upward Mobility Coordinators are responsible for the overall coordination of their Upward Mobility Program in their Administrative Service Center (ASC) area including:

Providing information to and enlisting the support of management and first-line supervisors on general program criteria;

Ensuring that adequate publicity is given to the program; and

Taking the lead role in annually monitoring and evaluating the ASC's program.

(Program evaluation must be consistent with the Program Evaluation and Monitoring Process described in Section 3-10.)

#### Personnel Specialists.

Personnel representatives are responsible for ensuring that staffing activities are consistent with the provisions of the Merit Staffing Policy, HUD Handbook 335.1, Rev-2, including:

Assisting managers and supervisors in conducting job analyses of positions to be filled and developing crediting plans;

Announcing vacancies, evaluating candidates, conducting panels, and referring best qualified candidates to selecting officials;

Advising managers, supervisors, and selectees of the length of training and experience required to satisfy OPM qualification standards for the target position;

Providing counseling services to trainees, managers and supervisors; and

Proper coding for personnel actions to ensure accurate affirmative employment reporting.

#### First-line Managers/Supervisors.

Each first-line manager and/or supervisor is responsible for:

Becoming knowledgeable of the Upward Mobility Program, and the opportunities it provides;

Making assessments of staffing needs, and identifying suitable trainee and target positions;

Serving as a key participant in the development of Individual Training and Development Plans;

Evaluating employees in training and participating in determinations regarding successful completion of program requirements; and

Conducting job analysis of positions to be filled and developing crediting plans in consultation with the personnel representative.

#### Participating Employees.

Participating employees are responsible for:

Participating in the development of Individual Training and Development Plans and in career counseling activities;

Periodic self-evaluations of performance and reviewing Supervisory evaluation of training performance; and

Fulfilling all training, educational, and work requirements of the Individual Training and Development Plan.

#### 1-5. Definitions.

Upward Mobility - a personnel management program through which Federal agencies may provide specific career development opportunities for employees in lower grade levels (at or below GS-9 or equivalent) who are in positions or occupational series which do not enable them to achieve their full work potential.

Upward Mobility Program Plan - outlines the development and implementation of specific career advancement opportunities for employees in lower grade levels through accelerated training and development plans. The program plan is responsive both to the management's staffing needs and affirmative employment responsibilities.

Trainee Position - a developmental position in which the trainee is engaged in full-time work during the training period. The level of responsibility, as determined during the position's classification process, is lesser than the target position and the supervision required is greater. The title of the trainee position will generally be the same as the target position, except for the designation "trainee" at the end of the position title.

Target Position - the position to which the trainee is reassigned or promoted upon successful completion of the requirements of the Upward Mobility Program and the Individual Training and Development Plan. Depending upon the needs of the organization where the position is located, the target position may be at the same grade as the trainee position or at a higher grade. The target position should be

identified during the classification process and stated on the vacancy announcement for the trainee position.

- e. Full Performance Level - the journey grade level in a specific career ladder. It is determined during the classification of the target position and is shown on the Position Vacancy Announcement and in the remarks section of Notification of Personnel Action (SF-50). Promotions to the full performance level are called "Career Promotions" and can be made without competition when, at an earlier stage, an employee was selected under competitive procedures for an assignment intended to prepare the employee for a higher grade position.

Individual Training and Development Plan - a written time-phased developmental plan which establishes the required training and developmental assignments needed by a specific trainee to acquire the knowledge, skills, and abilities essential in meeting the qualification requirements for the targeted position.