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1. POLICY. The Department of Housing and Urban Development is committed to eliminating discrimination because of race, color, religion, sex or national origin in all aspects of its personnel policies, practices and working conditions. It is the policy of the Department to ensure that the various minority groups and women in the nation as a whole and areas where our offices are located have an equal opportunity to be fully represented in the HUD work force at each geographic location, at all grade ranges and at all levels of responsibility.

This Handbook describes HUD's policy, long range objectives and planning system related to the enlargement of equal employment opportunity. The goals and methods for identifying problem areas and achieving these objectives are dynamic and receive annual review and evaluation. This Handbook is issued in accordance with Executive Order 11478; Chapter 713 of the Federal Personnel Manual; and is consistent with the May 11, 1972, memorandum from the Civil Service Commission to all Federal agencies. The In-House Equal Employment Plans developed by responsible officials are to be in accordance with the guidance of Appendices 1 and 2.

2. RESPONSIBILITIES. Managers, supervisors, and employees are charged with responsibility for supporting and affirming equal opportunity principles.
 - a. The Assistant Secretary for Equal Opportunity is the secretary's principal action officer for Equal Employment Opportunity. She is aided in carrying out her responsibilities by a staff of specialists in Headquarters. Equal Opportunity staffs in Regional Offices and Area Offices provide staff support to Regional Administrators and Area Directors in the carrying out of Equal Employment Opportunity responsibilities.
 - b. The Assistant Secretary for Administration is charged with providing full staff support to equal employment activities and programs through the Office of Personnel in Headquarters and the Regional Personnel Officers in the field. He is further responsible for ensuring that the policies and procedures developed through his staff reflect a positive approach to equal employment opportunity. To this end the following Handbooks, which describe policies of particular importance to equal employment opportunity, are to be reviewed and revised to ensure that these personnel programs are administered in a manner that buttresses the objectives of the Secretary and the Assistant Secretary for Equal Opportunity:

- (1) HUD Handbook 410.1 Employee Development and Training
- (2) HUD Handbook 335.3 A Merit Staffing
- (3) HUD Handbook 400.1 Operation MUST
- (4) HUD Handbook 711.2B Labor-Management Relations
- (5) HUD Handbook 451.2A Employee Incentives
- (6) HUD Handbook 430.3 Performance Evaluation Plan

c. The In-House Equal Employment Plan Officers (hereafter referred to as Plan Officers) of the Department:

- (1) Each Assistant Secretary*
- (2) The General Counsel*
- (3) The Federal Insurance Administrator*
- (4) The Inspector General
- (5) The Executive Assistant to the Secretary
- (6) Each Regional Administrator
- (7) Each Area Office Director
- (8) Each HUD-FHA Insuring Office Director
- (9) Federal Disaster Assistance Administrator

* For Headquarters organizations which they manage.

3. BASIC PROBLEMS. The most apparent symptoms of inequality of opportunity are:

- a. Overall Minority Employment. The absence of a representative sample of minority employees in the work force.
- b. Grade Distribution of Minority Employment. The concentration of minority employees in a few grade levels and/or job types.
- c. Distribution of Women. The exclusion of women from higher grade positions and from occupations which lead to positions with significant program authority and responsibility.
- d. Specific Distribution. The identification of specific patterns of discrimination against minority groups and women in certain occupations, grades or organizational entities and favoring one minority group when there are other groups in the geographic area.

4. DEFINITIONS. To assure common interpretation of the guidelines by those charged with approving or disapproving Plans, the following definitions of qualitative terms are provided.

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- a. Long Range Desired Profile. The eventual statistical configuration by race and sex which the Plan Officer desires for his work force. The grade level ranges on which projections should be based are described in Appendix 2, paragraph 5. Based on the Current Profile and anticipated changes in ceiling, attrition and turnover rates, a Plan Officer will describe the changes he realistically feels can be brought about within the year to reduce the disparity between the Current Profile and the Long Range Desired Profile.
 - b. Annual Projections. The changes in the current work force profile that will be achievable within the appropriate fiscal year, based on attrition rate, anticipated changes in ceiling and promotions. Projections reduce the disparity between the current work force profile and the Long Range Desired Profile.
 - c. Minority. Civil Service Commission designations of minority groups are: Negro, Spanish-Surnamed, American Indian, Oriental, Aleut and Eskimo. A woman is counted as a minority only if she belongs to one of these groups.
 - d. Commitment. Assurance that the projections of the In-House EE Projection Plan will be achieved. The following are examples of actions which will be considered a commitment to achieve the self-appointed projections of the In-House EE Projection Plan.
 - a. setting aside fiscal resources for recruiting or training;
 - b. setting aside manhours for staff surveys or restructuring job requirements.

Other specific actions demonstrating commitment are encouraged by all EE Plan Officers.

- e. Realistic Action. Will mean actions realistic in relation to the projections set. Projection of ambitious minority or female recruitment efforts are not realistic in relation to an office with an annual turnover rate of four employees which anticipates no new positions within the coming fiscal year. Approval is more dependent upon likelihood of results than size of effort. Therefore, "realistic" actions must pertain to "realistic" projections.
- f. Compliance. Will be judged by the degree of change effected over time, which indicates willingness to conform with the intent of the departmental policy and guidelines.

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- g. In-House EE Projection Plan. Is defined as the annual submission of Annual Projections for the problem areas and planned actions and justifications for meeting these projections.
 - h. Affirmative Action Plan. Refers to the separate plan for in-house employment which is filed yearly with the Civil Service Commission, based on their Bulletin 713.25, and is not to be confused with the submission of the In-House EE Projection Plan, based on this Handbook, HUD 713.2 REV., although this Handbook also speaks toward affirmative actions to redress inequality of employment in HUD's work force.
 - i. Current Profile. The actual statistical configuration of the work force of an office by race and sex at the beginning of a planning cycle. A Plan Officer bases his plan for the coming year on the disparity between his Current Profile and his Long Range Desired Profile.
5. ACHIEVING PROJECTIONS. Each Plan Officer is responsible for the following actions in accordance with Appendix 1, paragraph 3 and Appendix 2 of this Handbook.
- a. He will provide racial identification of employees and analyze, in a manner prescribed by the Department, the work force profile in his organization to uncover problem areas which reflect the presence of any impediments to equal opportunity.
 - b. On the basis of this analysis, he will set projections for his organization and the specific actions he intends to initiate to achieve these results, in order to move toward the Long Range Desired Profile for his office. These projections and actions should be realistic, achievable, short-range targets to be met within a year. These plans will be reviewed and approved by the next higher management level, i.e. Area Office and Insuring Office projections will be reviewed and approved by the Regional Administrator. Regional and Headquarters projections will be approved by the Under Secretary based upon review and recommendations of the Assistant Secretary for Equal Opportunity and the Assistant Secretary for Administration. Upon approval they will become the projections to be reached during the next fiscal year.
 - c. In their In-House EE Projection Plans, the Plan Officers will include specific planned actions in each of the following categories:

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- (1) Organization and resources to administer the EEO Program in a positive and effective manner.
 - (2) Recruitment activities designed to reach and attract job candidates from all sources.
 - (3) Full utilization of the present skills of employees.
 - (4) Opportunities for employees to enhance their skills, perform at their highest potential, and advance in accordance with their abilities (upward Mobility).
 - (5) Training, advice, incentives, and performance evaluation to assure program understanding and support by supervisors and managers.
 - (6) Participation in community efforts to improve conditions which affect employability.
 - (7) System for internal program evaluation.
 - (8) Prompt, fair, and impartial processing of complaints of discrimination, and Equal Employment Opportunity counseling.

Plans will also identify proposed projections which the Plan Officer intends to achieve in an effort to move toward overall departmental objectives of equal employment opportunity.

- d. The Under Secretary's approval or disapproval of annual In-House EE Projection Plans will be communicated to Headquarters and Regional Plan Officers by May 1.
6. COMPLIANCE. The annual formulation of In-House EE Projection Plans will provide the Plan Officers an additional opportunity for evaluation of the sufficiency of the total employment program within their purview.
- a. Remedial or disciplinary actions with respect to managerial or supervisory employees who have failed in their responsibilities to implement policies of equal opportunity in employment may be submitted as documentation of departmental efforts toward compliance. (Federal Personnel Manual System - Letter 713-3 - Subject: Equal Employment Opportunity Regulations - 1966).

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- b. Intentional violation of this policy and its attendant

responsibilities can be cause for dismissal of the Plan Officer and any other employee responsible for specific acts of violation (subject to the required statutory and procedural safeguards of the Department).

- c. The "good faith" of efforts and commitments which do not result in equal employment in all aspects of operations will be open to question since projections are self-appointed and anticipated to be wholly realistic and possible to meet through actions open to any operation in the Department.

7. PLANNING CYCLE will synchronize with the budget cycle:

- a. By February 1 the Assistant Secretary for Administration will send to each Assistant Secretary, the General Counsel, the Inspector General, the Federal Insurance Administrator and Regional Administrators, and the Federal Disaster Assistance Administrator:
 - (1) A computer output which reflects the work force profile(s) within their managerial jurisdiction.
 - (2) A numerical estimate of probable permanent staffing adjustments which can be expected as a result of the budget sent to Congress for the fiscal year to begin in the following July.
 - (3) An estimate of Manpower Recruitment and Development staffing levels for the coming fiscal year including recruitment authorizations for urban interns and other college recruiting.
 - (4) An estimate of training funds available for the coming fiscal year.
- b. Specific In-House EE Projection Plans for the coming fiscal year will be submitted for the Under Secretary's review and approval.
 - (1) By March 1 - Assistant Secretaries, General Counsel, Inspector General, Federal Insurance Administrator, and the Executive Assistant to the Secretary, and the Federal Disaster Assistance Administrator. (Assistant Secretaries having operations within the Central Office of more than 100 employees will submit separate plans for these offices.)

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- (2) By March 15 - Regional Administrators (Regional

Administrators will determine schedules for review and approval of Area and Insuring Office Plans.)

- c. These specific In-House EE Projection Plans developed by the Department's Plan Officers are to be responsive to the requirements outlined in Appendices 1 and 2 of this Handbook. The projections address themselves to the basic problems that impede equal opportunity described in paragraph 3 above. Every Plan Officer must identify and report annually performance to achieve the results to which the secretary is committed.
8. PRINCIPLES. Those to be followed in establishing projections are:
- a. These objectives must be achieved within the framework of merit principles. The projections established by the Plan Officers are to be accomplished with due regard to the statutory and regulatory provisions governing appointments and promotions in the Federal Service. They must not be construed as quotas to be accomplished without regard to such provisions.
 - b. Minority employment will include all of the established minority categories identified by the Civil Service Commission as Negro, Spanish-Surnamed, American Indian, Oriental, Aleut, and Eskimo. A Woman, a minority in the professional technical work force, will not be counted as a minority unless she is a member of one of the five established categories.
 - c. The projections must be realistic in terms of the need for manpower in the organizational entity and the available skills in the area and in the Department.
 - d. The projections are to take into consideration not only the labor market in the area, but are to be developed giving full consideration to the programs of the Department that provide for special training of individuals to meet departmental manpower needs. In addition, vacancies for which recruitment is made on a Department-wide or Region-wide basis should fully utilize minority candidates identified under the Merit Staffing Policy, HUD Handbook 335.1 A.
9. STAFF SUPPORT provided by the Office of Personnel and the Regional Personnel Officers will ensure the coordination of on-going personnel activities with the actions taken by the Plan Officers. This coordination is not to be achieved in a vacuum that isolates the achievement of annual affirmative action from the administration

in departmental handbooks identified in paragraph 2(b) above and in other issuances relating to personnel administration.

10. THE MANPOWER RECRUITMENT AND DEVELOPMENT PROGRAM (MRD) of the Department are major tools used to address the basic problems of inequity of opportunity identified in paragraph 3. The MRD programs are especially funded positions administered under budgetary controls that differ from those that apply to permanent positions. Funds are allocated for jobs under the MRD programs for full-time positions that are to last less than one year, or for part-time or intermittent positions, established for the purpose of the recruitment, training, and development of employees to enter permanent positions at a level of operating effectiveness. The administration of these programs will be continually reviewed to ensure that maximum benefits are obtained under those programs to facilitate the entry of minority candidates and women into those job categories most common to the Department which offer good opportunity for advancement.

11. THE PROJECTIONS for equal employment are established on an annual basis by each In-House EE Plan Officer for his organization. The annual programs are intended to reflect and diminish the problem areas, which are identified by analysis of present staffing and the Long Range Desired Profile for a given office. They will be achieved through the effective utilization of all of the on-going personnel programs of the Department, with particular emphasis on the tools and techniques described above and the methods identified in Appendices 1 and 2. Achievement of objectives in relation to the problem areas will be measured and reported on an annual basis as a part of the formulation of each successive annual plan, using the instructions of Appendix 2.
 - a. Overall Minority Employment. Statistical analysis will reveal the difference between present staffing and the eventual achievement of minimum minority employment accomplished through attrition rates, any changes in ceiling and expected promotions for each organization filing an In-House EE Projection Plan. To reduce the problem area, the Plan Officer is to project plans achievable within a 12-month period. These plans will be reviewed by the next higher management echelon as described in paragraph 7 above and paragraph 3 of Appendix 1.

- b. Grade Distribution of Minority Employment. The distribution of minority employees in the work force should represent an equitable distribution of minorities in all levels of employment. The projections established for overall minority employment

under "a" above is to be applied separately to all grade levels.

- c. Distribution of Women. In setting a Log Range Desired Profile, the same principles which apply to minority employment are applicable to women.
- d. Specific Distribution. To achieve the elimination of patterns of discrimination in occupational groups that offer opportunity for advancement, discrimination by clustering minority groups and women in certain organizations, and discrimination by hiring members of only one minority group when others are represented in a geographic area, the problem areas must be identified, a Long Range Desired Profile established, and projections set which will move toward the profile.

Care should be taken that the racial concentrations which have occurred in the past will not be repeated. Awareness of color is now an established principle of good management in order to assure the presence of minorities; the same principle applies to assure the presence of majority employees within a unit or classification. Officers should assure that their employment practices do not foster or allow racial concentration.

12. RESERVED.

13. RESERVED.