



Mentoring and Coaching Programs Policy

Handbook 460.1

**U.S. Department of Housing and Urban Development (HUD)
Office of the Chief Human Capital Officer (OCHCO)
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Chapter 1. General Provisions

1. Purpose

This document outlines the Department of Housing and Urban Development (HUD)'s policy and curriculum for two non-traditional learning and developmental programs, Mentoring and Coaching. This policy is in accordance with the Office of Personnel Management's (OPM) established guidelines, which are in place to ensure the continuous learning of the Federal workforce and to assist agencies in meeting several leadership and performance management objectives.

HUD LEARN (Learning Enrichment and Resource Network) provides enterprise-wide learning solutions for HUD's leaders and employees through a continuum that focuses on *Leading at Every Level*.

This guidance is provided for all HUD employees (executives, managers, supervisors and employees) by offering opportunities to establish and maintain both mentoring and coaching relationships. The purpose of these programs is to improve performance at all levels of the workforce, to provide real-time assistance in problem solving, and to increase job satisfaction and retention. The programs developed under this policy may also be used to address current and future workforce priorities, such as emergency resource needs caused by abnormal workload, special projects or studies, change in mission or organization, or absences for periods of short duration. A bi-product is the enhancement of employee career development.

2. Background

While there are some similarities between mentoring and coaching, there are some important differences between the two relationships. **Mentoring** is a more informal association focused on building a two-way, mutually beneficial relationship for long-term career movement and knowledge management. During the mentoring relationship, one is talking *with* a person who has identified his/her needs prior to entering into a mentoring relationship. The emphasis is on active listening, providing information and instruction, making suggestions, and establishing connections. This is a self-directed approach whereby participants have choices. This approach can begin with a self-matching process and continue throughout the relationship using a committed timeline to determine how often and where individuals will meet, identify goals, and so forth. The most important tool is the Mentoring Agreement—developed, completed, and signed by both participants. This document formalizes the commitment to the mentoring relationship. Items include individual goals, learning content, a meeting schedule, and communication methods.

Coaching is a more formal structured association focused on improvements in behavior and performance to resolve present work issues or handle specific aspects of the job. During the coaching relationship, one is talking *to* a person, identifying the needs, and developing an action plan. The emphasis is on active listening, assessing, and monitoring. A structured

approach is more frequently used whereby participants are working within a narrower perspective; their agenda is more specific, shorter in duration, and oriented toward certain results. Coaching is focused on helping the client gain clarity on their area of interest by asking powerful questions. Generally, the coach is not providing advice or guidance. Depending on the individual situation, various assessment instruments can be used such as skills training activities and 360 evaluations. A coaching agreement is issued regarding the goal to be achieved or skills to be learned.

Although differences exist between mentoring and coaching, they do share some similar characteristics as well:

- Defined roles allow individuals to envision the achievement of desired goals.
- Working relationships require trust, respect, open communication, and flexibility.
- Stakeholders include new hires, new managers, and staff promoted to senior-level positions.
- Training, education, and orientation are necessary.
- Success is best achieved when senior leaders understand the return on investment, and expectations regarding engagement, performance, and retention are being achieved.
- The mission is to meet both individual and organization goals.¹

Note: These developmental relationships should not be confused in any way with counseling. In cases of mental illness and/or crises, HUD Mentors and Coaches are not to be consulted in lieu of licensed health care professionals.

3. Scope

This policy is applicable to all HUD employees. The Mentoring and Coaching programs established under this policy are designed to address employees' developmental and organizational needs.

4. References

5§CFR410, Training

5§CFR720.101, Federal Equal Opportunity Recruitment Program (FEORP)

Title 5, United States Code, Chapter 4101-4121, "Training"

U.S. Office of Personnel Management, Training and Development Policy, Mentoring

U.S. Office of Personnel Management, Best Practices: Mentoring

****** This policy does not negate any rights that bargaining unit employees have under the Collective Bargaining Agreements, law or statute.***

¹ <https://www.td.org/Publications/Blogs/Human-Capital-Blog/2014/08/Mentoring-Versus-Coaching-Whats-the-Difference>

5. Definitions

Coach - An individual who supports a learner or client in achieving a specific personal or professional goal by exploring ideas and asking the powerful question.

Coaching - A form of development in which a person called a coach supports a learner or client in achieving a specific personal or professional goal. The learner is sometimes called a client.

Coaching Agreement - A document which establishes the ground rules for the coaching relationship so that both parties know their obligations. A simple agreement gives both parties peace of mind. The agreement offers both coach and client protection.

Coaching Client - An individual who receives coaching from an individual who is experienced or certified as a coach.

Coaching Partnership - A professional relationship between two individuals (the coach may not necessarily be from within the organization). The partnership explores professional potential for the recipient and the choices available to that individual. Coaching primarily involves some aspect of performance, i.e. leadership abilities, interpersonal skills, self-determination, winning business strategies, and moving self-imposed limitations.

HUD-approved Coach - HUD employee who completes all the requirements of the HUD Coach Program. If an employee is a ICF-certified coach and petitions to be a part of the HUD-approved registry, their petition must be approved by the Chief Learning Office (CLO). If a new employee is a OPM-certified coach and petitions to be a part of the HUD-approved registry, their petition must be approved by the CLO.

HUD-approved Mentor - A HUD employee who completes all the requirements of the HUD Mentor training program.

International Coach Federation (ICF)-certified Coach – A HUD employee who has completed all the requirements and successfully passed the examination to receive ICF coach certification credentials.

Mentee – A person who is guided by a mentor.

Mentor - A person who guides a less experienced person by building trust and modeling positive behaviors. An effective mentor understands that his or her role is to be dependable, engaged, authentic, and tuned into the needs of the mentee.²

² <http://www.oycp.com/MentorTraining/3/m3.html>

Mentoring Agreement - A document establishing the parameters of the mentoring partnership. It includes roles and responsibilities, action plan, confidentiality clause, termination of agreement rules, and signatures of both the mentor and mentee.

Mentoring Partnership - A formal professional relationship between two employees, an experienced mentor (outside of the mentee's chain of supervision) and a less experienced mentee. A partnership may also include a professional relationship between two executives of similar levels. A Mentoring partnership is primarily concerned with career potential and often involves partnering with someone within the same organization. Examples of mentoring scenarios may include: career development, diversity programs, and cultural factors.

OPM-certified Coach - A HUD employee who has completed all the OPM Coaching Bootcamp requirements and successfully passed the examination to receive OPM Federal Internal Coach Training Program (FICTP) certification credentials.

Chapter 2. Roles and Responsibilities

2.1. The Chief Human Capital Officer (OCHCO), or designee, is responsible for the administration of policy. Approval to deviate from this policy must be obtained from the Chief Human Capital Officer or designee.

2.2. The Chief Learning Officer (CLO), or designee, is responsible to:

- A. Champion and promote the sustainability of the programs as a Departmental engagement and culture building/shifting tool;
- B. Implementation and Administration of this policy;
- C. Provide tools to program participants which support their growth and development;
- D. Ensure the HUD Mentoring and Coaching system operates within the HUD Leadership Development framework and complies with the requirements of merit principles, statutes, and regulations;
- E. Collaborate with labor/management organizations regarding the development, implementation, and evaluation of mentoring and coaching programs;
- F. Deliver the training and continuous learning requirements for mentors and coaches; and
- G. Provide direction, support and encourage senior leadership support for the coaching and mentoring programs.

2.3. Mentoring and Coaching Program Managers (including program managers and supervisors) are responsible to:

- A. Operate within the parameters of the HUD mentoring and coaching programs policy;
- B. Manage the development, implementation, and evaluation of mentoring and coaching programs;
- C. Maintain program data and reporting as necessary to HUD OCHCO;
- D. Provide reports (tracking, metrics, etc.) to HUD OCHCO on the effectiveness of the program (including tracking of informal mentoring data) and responding in a timely manner to other data requests;
- E. Evaluate the overall effectiveness of the mentoring and coaching programs using objective measures, to include Return on Investment (ROI) metrics; and
- F. Encourage managers, supervisors and higher graded employees to participate as mentors and coaches in the programs.

2.4 Supervisors and Managers are responsible to:

- A. Encourage employees to participate in these developmental programs; and
- B. Acknowledge and/or approve employees' participation in these developmental programs.

2.5. Participants are responsible to:

- A. Ensure they have completed all application documents;
- B. Comply with all established Department and Component procedures;
- C. Actively seeking out opportunities for mentoring/coaching;
- D. Actively participating in all aspects of mentoring/coaching;
- E. Participate in developing objectives and standards for mentoring/coaching so that their performance can be appraised;
- F. Provide feedback to the mentoring/coaching supervisor and keeping the supervisor of record updated on progress; and
- G. Participate in evaluation and post-effectiveness assessments.
- H. Employees engaged in informal mentoring are required to submit tracking data/metrics.

Chapter 3. Mentoring Program Requirements

3.1. Mentoring Program Recruitment and Matching. Mentors and mentees should be recruited and matched by creating a learner profile in the Mentoring and Coaching Programs system of record, LINK, which can be accessed at the following URL, <http://hudatwork.hud.gov/HUD/chco/po/amt/mentors/mentorprogram> or <https://hud.triplecreekriver.net/om/auth/login?targetUri=/>. Potential mentors and mentees will be invited to special information sessions for orientation and educational purposes.

The following information should be provided to mentors and mentees during the initial information session and will be maintained on the mentoring website at <http://mgmthudatwork.hud.gov/HUD/chco/MentoringTraining>

A. Tools for the Mentors' Packet

1. Application form
2. Mentor benefits and responsibilities
3. Ideas to assist your mentee
4. Effective questioning tips
5. Giving feedback
6. Tips for being a good listener

B. Tools for the Mentee's Packet

1. Application form
2. Mentee benefits and responsibilities
3. How to receive feedback

C. Tools included in both Packets

1. Confidentiality agreement
2. Mentoring agreement
3. Mentee action plan
4. Mentoring log
5. Competency Assessment Tool (for Targeted Mentoring Matches)
<http://hudatwork.hud.gov/HUD/chco/po/amt/mentors/mentorprogram>

3.2. Mentor Criteria. All prospective employees interested in becoming a HUD approved Mentor must meet the following criteria and complete a selection process that is fair, open, unbiased, and based on a balanced weighted point system.

- A. HUD career only employees (Excluded from this talent pool are Presidential Management Fellows, Temporary, and Political Appointees);
- B. GS-11 and above; and
- C. Fully Successful rating or above performance rating.

To be considered for Mentor training, employees meeting the criteria must submit the following documentation for consideration.

- Application;
- SF-182 (for training purposes); and
- Two Letters of Recommendations: one from a former or current supervisor and one from either a peer or third party.

The selection team will consist of HUD approved Mentors, the Mentor Program Managers, a AFGE, and a NFFE representative (selected by the unions). Final concurrence will be provided after the mentor attends a program orientation session BEFORE the Mentor training begins.

3.3. Mentor Training Requirements. HUD LEARN will coordinate and provide training for the HUD Mentoring Program. In order to become a HUD-approved Mentor, employees must complete the necessary training requirements, which includes the following:

- A. Mentoring Training using The Mentor's Guide ([Zachary](#));
- B. Emotional Intelligence using Emotional Intelligence 2.0 ([Bradberry](#), Greaves);
- C. Crucial Conversations using Crucial Conversations ([Patterson, Grenny, McMillan, Switzler](#));
- D. Other course material as determined by needs of the group; and
- E. Electronic Individual Development Program (IDP).

The following methods of delivery may include:

- Classroom training for introduction to other participants, instructors, and the components;
- Automated electronic matching opportunities;
- Learning activities and meetings managed electronically through the LINK system;
- Online course availability;
- Formal webcast training;
- Resource materials;
- Facilitated follow up workshops;
- Emotional Intelligence (EQ) Appraisal Assessment;
- Scheduled EQ Re-Test with a full change score report and recommended strategies based on new results; and
- Other organic trainings that meet the needs of participants.

Mentors are expected to complete some type of training/educational experience designed to refresh/ advance their coaching skills, annually.

3.4. Mentee Training. Mentees are expected to complete HUD prescribed training. The training requirements will be administered on a continual basis (quarterly/bi-annually or annually). This training may include but not be limited to (self-assessment, facilitated, pre- and post- testing, webcasts, online, etc.). Mentors will also provide letters of recommendation as requested by HUD LEARN.

3.5. Mentor Participation. The following items provide guidance to Mentors providing mentoring services.

- A. Mentors are allowed to have multiple mentees, but no more than five (5).
- B. Mentors are strongly encouraged to participate in quarterly Communities of Practice sessions designed to encourage network opportunities.
- C. Mentors must maintain a log of mentoring hours, which will be reported to the HUD Mentoring Program Managers quarterly.
- D. Mentors are responsible for conferring with their supervisor when scheduling and engaging in mentoring sessions during core duty hours to avoid excessive use of work hours to mentoring.

3.6. Mentee Participation. The following items provide guidance to Mentees receiving mentoring services.

- A. Employee participation in Mentoring Program is voluntary.
- B. Participation in the Mentoring Program as a Mentee is considered to be a developmental activity. Mentees must complete a SF-182 with the estimated total number of mentoring hours being provided as if they were requesting to attend a training opportunity. ***Please note: While a supervisor must be aware of the Mentoring developmental activity, the approval of the Mentoring relationship is recommended but is not required.*
- C. Employees participating in the Mentoring Program may use duty time to participate in the program, including any training in preparation for participating in the program.
- D. Employees will not be adversely affected by participation in the Mentoring Program.
- E. Employees who apply for and request a mentor under the program will receive a mentor.
- F. Participation in the program will not be used as a basis for cancelling or changing an employees telework, Flexi-tour, alternative work schedule, Maxi-flex or reasonable accommodation agreement.
- G. An employee's participation in Mentoring Program will not be used as a basis to deny an employee training, awards or any other benefits or incidents of employment.

3.7. Developmental Programs. All employees in HUD developmental programs will complete a mentoring assignment before completion of the program. In addition, OPM **requires** the completion of a mentoring assignment in the following two programs;

- A. Presidential Management Fellows (PMF) program
- B. Senior Executive Service (SES) Candidate Development Program (CDP).

Please note: Participants in these two programs are not required to use the mentors in the HUD Mentoring program.

3.8. Mentoring Partnerships. Partnerships once arranged may be mutually dissolved with the advice of and/or discussion with the Program Manager. Partnerships may operate in person or virtually (i.e. teleconference, videoconference) and the logistics of the partnerships are subject to the mutual agreement of the participating parties. This policy covers mentoring partnerships where all participants are employees of the Department of Housing and Urban Development (HUD).

3.9. Confidentiality. Mentoring partnerships are to be held in the strictest of confidence between the mentor and the mentoring client unless legal and/or safety-related issues arise. Information shared is not to be used for performance and/or routine disciplinary related matters.

Chapter 4. Coaching Program Requirements

4.1. Coach Criteria. All prospective employees interested in becoming a HUD approved Coach must meet the following criteria and complete a selection process that is fair, open, unbiased, and based on a balanced weighted point system.

- A. HUD career only employees (Excluded from this talent pool are Presidential Management Fellows, Temporary, and Political Appointees);
- B. GS-11 and above;
- C. Fully Successful rating or above performance rating; and
- D. Must be willing to coach HUD employees for at least two years

To be considered for Coach training, employees meeting the criteria must submit the following documentation for consideration.

- A. Application;
- B. Resume;
- C. SF-182 (for training purposes);
- D. Two Letters of Recommendation, one from a former or current supervisor and one from either a peer or third party who can speak to level of skills in oral communications, partnering, resilience, and/or negotiation; and
- E. Letter of interest indicating the reason the interested employee would like to be a Coach and how their participation will be beneficial to HUD (2-page limit)

The selection team will consist of HUD approved Coaches, the Coaching Program Managers, a AFGE and a NFFE representative. Final concurrence will be provided by the CLO and the CHCO or their designee. Employees selected to become a HUD-approved coach must attend a Coaching program orientation session BEFORE the Coach training begins.

4.2. Coach Training Requirements. HUD LEARN will coordinate and provide training for the HUD Coaching Program through a coaching vendor which will result in an ICF Certification. The expected outcome is at the completion of the training requirements, participants will successfully be able to obtain their ICF certification.

To become a HUD approved Coach, employees must complete the necessary training requirements consistent with the ICF guidelines, which includes the following:

- A. 60 hours of Coach Training;
- B. 10 Hours of Mentor Coaching**; and
- C. 100 Hours of Coaching

***Mentor Coaching may be provided by a HUD approved Coach training vendor or a HUD ICF-certified coach. While a "Support coach" is not required, it is strongly recommended.*

Coaches are expected to complete a training/educational experience designed to refresh/advance their coaching skills, annually. HUD-approved coaches (who have not received Coach training through HUD) must be OPM-certified and/or ICF-certified.

4.3. Coach Participation. The following items provide guidance to Coaches:

- A. In addition to providing coaching services to HUD employees, HUD-approved Coaches may engage non-HUD employees to be Coaching Clients. Other Clients may be from other federal agencies or other organizations.
- B. HUD-approved Coaches who are also supervisors should not have subordinates as Coaching Clients.
- C. HUD-approved Coaches are strongly encouraged to participate in quarterly Communities of Practice sessions designed to encourage network opportunities.
- D. Coaches must maintain a log of coaching hours, which will be reported to the HUD Coaching Program Managers quarterly.
- E. While HUD will fund the ICF certification fee for Coaches who complete the training requirements sponsored and deployed by the HUD Coaching Program, HUD will not fund the Coach's liability insurance. While liability insurance is not required to provide coaching services, it may be recommended.
- F. Coaches are responsible for conferring with their supervisor when scheduling and engaging in coaching sessions during not just core duty hours to avoid excessive use of work hours to coaching.
- G. It is preferred that Coaches conduct sessions with HUD employees during core duty hours. If sessions occur during non-core duty hours, the duration of the sessions will not be considered as work time.

4.4. Coaching Client Participation. The following items provide guidance to Coaching Clients receiving coaching services;

- A. Employee participation in the Coaching Program is voluntary.
- B. Participation in the Coaching Program as a Coaching Client is considered to be a developmental activity. Coaching Clients must complete a SF-182 with the estimated total number of coaching hours being provided as if they were requesting to attend a training opportunity. ***Please note: While a supervisor must be aware of the Coaching developmental activity, the approval of the Coaching relationship is recommended but is not required.*
- C. Employees participating in the Coaching Program may use supervisory approved duty time to participate in the program, including any training in preparation for participating in the program.
- D. Employees will not be adversely affected by participation in the Coaching Program.
- E. Participation in the program will not be used as a basis for cancelling or changing an employee's telework, Flexi-tour, alternative work schedule, Maxi-flex or reasonable accommodation agreement.
- F. An employee's participation in Coaching Program will not be used as a basis to deny an employee training, awards or any other benefits or incidents of employment.

4.5. Coaching training. As a part of the Coaching Program, HUD LEARN offers training opportunities focused on coaching skills for managers and leaders. The purpose of these learning opportunities is to provide the management and leadership workforce tools to engage employees, improve their communication skills, and improve performance goals. These sessions are for skills development only and cannot be used in lieu of Coach training.

4.6. Documentation. Crucial to the sustainability of Coaching Program standards is the documentation needed to maintain the program. The program managers of the Coaching Program will maintain and update the following documents that are necessary to support the program and preserve the coaching relationship. All necessary program documents will be located on Coaching and Mentoring Program system of record, LINK, which can be accessed at the following URLs,

<http://hudatwork.hud.gov/HUD/chco/po/amt/mentors/mentorprogram> or <https://hud.triplecreekriver.net/om/auth/login?targetUri=/>.

- Coaching Agreement (between Coach and Coaching Client)
- Coaching Log (to maintain record of coaching hours)
- Wheel of Life (assessment tool)
- Continuing Service Agreement
- Application for Coach Training
- HUD Coaching Program Brochure and other marketing materials

4.7. Assessments. At the beginning of the coach/client relationship, Coaches are strongly encouraged to conduct a skills/ leadership related assessment of their Coaching Clients. These tools may be in a self-report or a 360 format and will be provided by HUD LEARN. Possible assessments include the following. Coaches can arrange access via the program managers.

- Wheel of Life
- DiSc
- Emotional Intelligence
- Situational Leadership

4.8. Developmental Programs. Developmental programs developed and maintained by HUD LEARN will have a coaching component. Employees (supervisory or non-supervisory) who are participating in a developmental program will follow this coaching guidance to fulfill the coaching component.

4.9. Coaching Partnerships. The duration of the coaching relationship is usually finite and is focused on goal attainment. The duration of the coaching partnership will be determined at the time of matching and will be based on the goals/objectives of the partnership. Partnerships can be extended, with the agreement of both parties, as long as positive movement is being made. This relationship between coach and client once arranged may be mutually dissolved. Coaching sessions may operate in person or virtually (i.e. teleconference and/or videoconference) and the logistics of the meeting sessions are subject to the mutual agreement of the participating parties. This policy covers coaching partnerships where all participants are employees of the Department of Housing and Urban Development (HUD) and other federal employees.

4.10. Confidentiality. Coaching partnerships are to be held in the strictest of confidence between the coach and the coaching client unless legal and/or safety-related issues arise. Information shared is not to be used for performance and/or routine disciplinary related matters.

Chapter 5. Evaluation of Developmental Programs

5.1. LINK. LINK is the system of record for the HUD Mentoring and Coaching Programs. The system has many features, which include a dynamic learning network permitting employees to contribute to the development of others by sharing expertise, skills, values, perspectives, attitudes, and resources. This knowledge sharing process allows learners to build skills and knowledge while attaining specific development goals. It also provides the opportunity for the experienced individual to further enhance his/her skills and knowledge areas by assisting others and continuously reassessing and building upon their strengths. This web-based process guides participants through the process of assessing their development needs and strengths, connecting with others, and collaborating around specific learning needs, and building a Communities of Practice (CoP). (LINK: *Your Personal Knowledge Network* <https://hud.triplecreekriver.net/om/auth/login?targetUri=/>)

LINK is also crucial to the reporting and monitoring of the programs. It allows HUD LEARN to track the number of mentoring and coaching relationships in the Department, which is an annual requirement of the Federal Equal Opportunity Recruitment Program (FEORP).³

5.2. TEMPO. HUD's Training Evaluation and Measurement for Performance Optimization (TEMPO) System is the Department's enterprise solution to measuring training and development effectiveness among its learning and developmental programs.

Federal agencies are required to evaluate the effectiveness of their developmental programs at the end of the program cycle or annually.⁴

The implementation of TEMPO allows HUD LEARN to measure reaction to learning sessions, change in learning behavior, transfer of knowledge to improve skills and abilities, and the agency's Return on Investment (ROI). Evaluation of these developmental programs will occur immediately following required learning sessions, and 9-12 months after completion of the required training for Mentors and Coaches, and 12 months after participation of Mentees and Coaching Clients.

³ 5§CFR720.101

⁴ 5§CFR410.202

