

Directive

9000.1

September 26, 2014

PERFORMANCE APPRAISAL SYSTEM – FIELD PERFORMANCE ELEMENTS AND STANDARDS

Contents

1. PURPOSE	2
2. REPLACEMENT HIGHLIGHTS.....	2
3. BACKGROUND.....	2
4. PROCEDURES	2
5. INQUIRIES	5
ATTACHMENT 1. GENERIC ELEMENTS AND STANDARDS	6
APPENDIX A Supervisors.....	6
APPENDIX B Specialists	17
APPENDIX C Technical Duties.....	28
APPENDIX D Administrative.....	48
APPENDIX E Required Standards	60
ATTACHMENT 2 SUPERVISOR’S CHECKLIST OF APPRAISAL STEPS	61
ATTACHMENT 3 EQUAL EMPLOYMENT OPPORTUNITY/CIVIL RIGHTS (EEO/CR).....	62

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1. PURPOSE

This directive transmits procedures which define the Performance Appraisal System (PAS) requirements for field office personnel.

2. REPLACEMENT HIGHLIGHTS

This directive replaces Program Directive 9000.1, dated March 11, 2014, and is revised to include new requirements for Performance Plans, Progress Reviews and Appraisal Worksheets as set forth by the U.S. Department of Agriculture (USDA) Office of Human Resource Management. **This directive is to be used in conjunction with Departmental Regulation 4040-430, dated September 30, 2013.** This directive focuses on establishing a PAS that promotes excellence and a results-oriented performance culture that contributes to individual and organizational effectiveness and supports the USDA's and the Federal Grain Inspection Service (FGIS's) mission and goals.

3. BACKGROUND

The PAS for field office employees has required extensive review and revision over the past several years. In an effort to improve and standardize the application of PAS requirements for the field offices, the Field Management Division (FMD) has developed specific guidelines for field employees.

4. PROCEDURES

a. Generic Elements and Standards.

- (1) The generic elements and standards will be used for supervisors, scale specialists, agricultural commodity graders (ACG's), agricultural commodity technicians (ACT's), agricultural commodity aids (ACA's), and administrative support personnel. (See Attachment 1)
- (2) When applicable, Field office managers (FOMs) may modify the generic elements and standards to more accurately measure the actual scope of duties that can be performed by employees who will be on a limited light duty status for more than 90 days.
- (3) All performance elements and standards must align with the Department, Agency, and/or office goals and objectives. The performance plan must include at least one results-oriented performance element linked to the strategic goals and objectives of the organization (for example, Mission Results; Mission Support; Execution of Duties; and Program Management, Leadership/Management, or other appropriately assigned performance element). Employee performance plans must include balanced, credible measures of performance for each performance element and identify the accomplishment of organizational objectives.

- (4) All employee's performance elements and standards must contain a minimum of three and not more than seven performance elements. Each employee's performance plan must contain at least one critical performance element.

b. Communication of Performance Elements and Standards.

Forms AD-435E (Nonsupervisory) and AD-435S (Supervisory) will be used to document and communicate each element and its standards to the employee. The standards for each generic element will be clearly shown on the form at the Fully Successful level. (See separate attachments [AD-435E](#) and [AD-435S](#)).

c. Measuring Performance.

- (1) The manager/supervisor will determine the generic elements and standards used for each employee and modify any generic elements and standards to more accurately measure the employee's scope of duties. The rating officials in each field office will develop a written measurement system. This system will provide guidelines on the application of the performance appraisal system in their respective field locations. The written system will be tailored to the generic elements and standards of their particular work situations. This written system may address and clarify a number of issues, such as the methods utilized for collecting samples used for performance appraisals; the system for issuing form FGIS 301's, Description of Performance (e.g., issued for specific events, for specific events in a given time interval, etc.); and/or clarification of the performance needed for a particular performance standard. Managers and supervisors are encouraged to work with their employees to develop meaningful goals and expectations.
- (2) The written measurement system will assist rating officials in the application of the performance system in their respective field offices and clarify the overall system for employees.
- (3) An ACG's performance rating in the "Mission Results-Grading (USGSA/AMA)" performance element will be based on "Documentation of Accomplishments and Deficiencies" based on the grading proficiencies as follows:
 - (a) Performance is based on inspector accuracy and determined by the weekly separation proficiency evaluated by the QAS during the fiscal year.

Example: Wheat sample separations of DKT, HT, and WOCL

- (b) Inspector accuracy is based on the plus/minus formula:

$$((X - Y^1) / (X + Y^2)) * 100$$

where X=original result, Y1=minus percentage and Y2=plus percentage.

For example: Original DKT (X) is 6.0 percent;
Minus (Y1) is 1.0 percent;
Plus (Y2) is 0.7 percent

Proficiency: $((6.0 - 1.0) / (6.0 + 0.7)) * 100 = 74.7$ percent

- (c) Separations where the Original result AND the Supervision result do not exceed one-half of the grade limit for U.S. No. 1 quality will be used in the determination of inspector accuracy if accuracy is 80 percent or above and will not be used if accuracy is below 80 percent.

Corn DKT example:

Used: Original 0.9 percent; Plus: 0.1 percent; Supervision, 1.0 percent;
Accuracy, 90 percent

Not used: Original 0.7 percent; Plus: 0.3 percent; Supervision, 1.0 percent;
Accuracy, 70 percent

- (d) Separation proficiency samples of < 80 percent will be returned to the inspector for review. An inspector may request that all separation proficiency samples which are selected for review be returned to the inspector. The inspector should indicate on the separation envelope that if the sample is selected for review, that they would like the separation returned.
- (e) Minimum Evaluation Period.

The ACG must be employed for a minimum of 90 days during a given fiscal year to receive an annual performance rating.

- (f) Grading proficiency.
- Exceeds fully Successful: 90-100 percent
 - Fully Successful: 80-89 percent
 - Does Not Meet: Below 80 percent

The following procedures will be used to implement the new performance standard at each field office:

- (g) Grain/Commodity.
- Selected based on field office
 - Examples include Barley, Canola, Corn, Flax, Oats, Rye, Sorghum, Soybeans, Sunflower Seed, Wheat, Rice, Peas, Beans, Lentils

(h) Grain Service Type.

- Selected based on field office
 - Examples include export sub lots, (including re-inspections on material portions), submitted samples, single lots, round lots, composite, average composite
- (4) It is important that managers/supervisors maintain a sustained commitment to the fair and equitable process of measuring employee performance. To assist in these requirements, a checklist of appraisal steps is included. (See Attachment 2)
- (5) To assist in the understanding and successful application of the Equal Employment Opportunity/Civil Rights performance element and standards, a list of information and guidelines is included. (See Attachment 3)

5. INQUIRIES

FGIS field offices may direct inquiries to the FMD Director at (202) 720-0228.

Attachments

ATTACHMENT 1. GENERIC ELEMENTS AND STANDARDS

APPENDIX A Supervisors.¹

1. FIELD OFFICE MISSION RESULTS (Field Office Manager, Assistant Field Office Manager, and Area Manager Element) (Critical Element)

This element supports the U.S. Department of Agriculture (USDA) Strategic Plan Goal 1, “Assist rural communities to create prosperity so they are self-sustaining, re-populating, and economically thriving,” Objective 1.2, “Increase agricultural opportunities by ensuring a robust safety net, creating new markets, and supporting a competitive agricultural system. The Federal Grain Inspection Service (FGIS) Strategic Goal 2, “Facilitate the marketing of U.S. grain and related agricultural products,” Objective 2.3, “Provide official grain inspection and weighing services,” by ensuring a high degree of responsiveness to organizational leadership, the public, and internal and external customers. The (**appropriate manager**) demonstrates support for business strategic goals and initiatives within the field office by continually reviewing, monitoring, and striving to improve organizational performance to achieve USDA and FGIS mission results.

This element supports the Federal Grain Inspection Service (FGIS) mission of facilitating the marketing of U.S. grain and related agricultural products through the establishment of standards for quality assessments, regulation of handling practices, and management of a network of Federal, state, and private laboratories that provide impartial, user-fee funded official inspection and weighing services. The (**appropriate manager**) is responsible for providing mandatory inspection and weighing services on U.S. grain exports at export port locations and, upon request, official inspection and weighing services on U.S. rice, commodities, and grain traded in domestic commerce.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the efficiency and effectiveness of the workplace by employing preventive measures (i.e., Early Alert) necessary to maintain the integrity of the national inspection and weighing system, recommending changes to achieve a more consistent and uniform application of existing policy/procedures, implementing appropriate follow-up measures to prevent recurring problems, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

¹ Includes Field Office Manager, Assistant Field Office Manager, Area Manager, GS-12 Supervisory Agricultural Commodity Grader, Shift Supervisor, and Quality Assurance Specialist (GS-11).

b. Fully Successful.

Provides cost-effective and responsive official grain inspection and weighing services by maintaining the cost of official grain inspection and weighing services on U.S. rice, commodities, and grain traded in domestic commerce within FGIS's targeted performance measure 95 percent of the time.

Maintains the cost of inspection and weighing service per metric ton at a level established by the (**appropriate manager**). This element is measured by the cost efficiency and effectiveness of providing service and the statistical accuracy of official agency inspection results.

Reviews, monitors, and strives to improve organizational performance to achieve USDA and FGIS mission results by providing accurate information to appropriate individuals regarding sensitive and controversial emerging issues, problems, and challenges to the appropriate organizational level with timeframes established by the (**appropriate manager**).

Addresses identified business priorities through activities that produce measurable results. New insights and innovative solutions are developed, where needed, which result in progress to resolve difficult issues, improve management, or capitalize on emerging opportunities. Recommendations and contributions are generally accepted because they are based on demonstrated sound judgment, cost effectiveness, and sensitivity to the effects on overall policy, and are supported by sound analysis and rationale.

Communicates the mission area and FGIS's mission, core values, strategic goals, and priorities to all employees, customers, and other critical stakeholders who are involved in the development of objectives to accomplish those goals.

Informs superiors of sensitive and controversial emerging issues as well as problems and challenges that arise in the implementation and administration of FGIS programs within 2 hours of occurrence.

Produces final work products for initiatives that are accepted as sound, appropriate, and responsive to the purpose of the initiative by the Director, Administrator, and stakeholder, unless there is a valid reason for nonperformance. Plans and completes requested work assignments within established timeframes 95 percent of the time.

Ensures issues and problems are identified, documented, and dealt with in a timely manner, as appropriate, 90 percent of the time.

Supports and promotes Administration and USDA policies in an affirmative manner 97 percent of the time, unless there is a valid reason for nonperformance.

c. Does Not Meet.

Requires repetitive counseling with respect to utilizing nonrevenue-producing time efficiently, timely response to service requests, effective use of personnel, and other activities needed to effectively plan/coordinate work assignments.

2. SUPERVISION

(Field Office Manager, Assistant Field Office Manager, Area Manager, and GS-12 Supervisory Agricultural Commodity Grader, GS-11 Supervisory Agricultural Commodity Grader (Shift Supervisor) Element) (Critical Element)

The (**appropriate manager**) manages programs, resolving issues and problems within the employee's control. Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedures. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate timeframes.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the workplace by having a contingency plan (i.e., training, equipment maintenance, etc.) for the unanticipated service cancellations, promoting efficient utilization of staff in response to unexpected service requests, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Proactively responds to customer and workforce feedback and takes appropriate actions to resolve concerns and issues within 30 days of receipt to maximize effectiveness.

Analyzes feedback received from employees from the Federal Human Capital Survey (FHCS), the Organizational Assessment Survey, or other feedback mechanisms (focus groups/1-on-1 discussions) and develops action plans to improve future survey results/employee satisfaction.

Ensures subordinates/employees have an employee performance plan that focuses on results achieved, contains at least one element that is aligned with organizational goals, and are in place within 30 calendar days at the beginning of the appraisal period.

Accomplishes performance planning and rating responsibilities within 30 days of the beginning of the rating cycle. Completes and documents mid-year reviews within 30 days after the mid-point of the rating cycle.

Completes end-of-year ratings and review meetings within 30 days of the end of the rating cycle and supports subordinates'/employees' performance appraisals by appropriate documentation.

Delegates work in a manner that is fair, equitable, makes maximum use of employee knowledge, skills, abilities, and time.

Prioritizes work of staff to ensure mission-critical work is accomplished according to established criteria for accuracy and timeframes.

Complies with requirements of FGIS Directive 4315.1, Training Policy for Supervisors, Managers, and Executives.

Ensures that all new employees receive training on operational and procedural requirements within timeframes required by management. Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis.

Ensures employees have completed all mandatory training by the due date unless valid reason.

Assesses effectiveness of service and takes appropriate action to correct any deficiencies; poor performance and misconduct are identified and appropriately addressed in a timely manner.

Initiates award recognition to deserving subordinates/employees; recognizes superior performance and special achievements in staff and rewards employees appropriately.

Schedules staff meetings at least monthly and after major program conferences or meetings or more frequently if required by management. (Field Office Manager and Assistant Field Office Manager Standard Only)

c. Does Not Meet.

Requires repetitive counseling with respect to the documentation/certification requirements, appropriate followup action, and technical aspects associated with the inspection and weighing process to effectively supervise assigned personnel.

**3. RESOURCE MANAGEMENT/FINANCIAL STABILITY
(Field Office Manager and Assistant Field Office Manager Element)
(Critical Element)**

The (**appropriate manager**) is responsible for monitoring allocated funds and maintaining complete and accurate records of expenditures. Routinely utilizes resources in an efficient and effective manner. Ensures that funds, property, and other resources are guarded against waste, loss, unauthorized use, and misappropriation. Under supervision of the (appropriate manager), the (appropriate manager) maximizes the utilization of all resources (people, assets, financial instruments) to ensure that the field office operates with fiscal integrity.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the office by monitoring allocated funds and maintaining accurate records of expenditures and utilizes resources in an efficient and effective manner. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Effectively utilizes fiscal resources to achieve office goals by tracking operational expenditures to ensure maximum funds application. Manages within established budget for program, function, or work assigned; notifies appropriate individual of potential budget shortfalls at least 60 days in advance.

Initiates effort to continuously improve the quality level of all FMD programs to assure they are sufficient to meet the stakeholders' expectations and FMD program goals as outlined in its strategic and annual performance plan.

Plans resource needs accurately 97 percent of the time.

Ensures that budget object codes are correctly entered 97 percent of the time.

Ensures that travel, training, and other administrative forms are properly completed, timely, and followed up to ensure proper processing 97 percent of the time.

c. Does Not Exceed.

Requires repetitive counseling with respect to the resources management and financial stability of the field office in order to effectively maintain accurate records of expenditures and utilize resources.

**4. EQUAL EMPLOYMENT OPPORTUNITY/CIVIL RIGHTS (EEO/CR)
(Field Office Manager, Assistant Field Office Manager, Area Manager, GS-12
Supervisory Agricultural Commodity Grader, and GS-11 Supervisory Agricultural
Commodity Grader (Shift Supervisor) Element)
(Critical Element)**

Employee demonstrates awareness of EEO/CR policies and responsibilities. Employee performs duties in a manner that demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business and maintains a work environment that supports civil rights, cultural diversity, and improvements for all employees.

a. Exceeds.

In addition to the standards in Fully Successful, see Attachment 3.

b. Fully Successful.

Completes mandatory civil rights training within required timeframe and verifies recordation in AgLearn.

Ensures that employees receive required EEO/CR and Sexual Harassment training within established timeframes and tracks completion.

Implements strategic plans for civil rights, as requested.

Enforces and adheres to all civil rights laws, rules, regulations, and executive orders.

Holds staff accountable for achieving measurable civil rights goals and objectives in all employment and program delivery activities.

Ensures that employees have measurable civil rights performance elements in their annual performance plans.

Provides EEO/CR/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc., at least two times a year.

Responds promptly and appropriately according to USDA's policies to employee concerns or allegations regarding an EEO/CR matter with no more than three approved exceptions. In an appropriate manner, resolves complaints at lowest possible level. Promptly communicates and documents complaints and suggests solutions to the (**appropriate manager**) and Director of Civil Rights.

Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc., at least two times annually.

Encourages, plans, assists with or attends activity(s) or event(s) aimed at increasing the awareness and understanding of EEO/CR matters and reports attendance to (**appropriate manager**).

Meets USDA-established EEO/CR goals for recruitment, selection, promotion, training, awards, and other personnel activities.

Models appropriate behavior by treating employees, peers, supervisors, and customers with respect, fairness, and politeness with no more than 6-8 valid complaints.

c. Does Not Meet.

Requires repetitive counseling with respect to the administration and promotion of EEO/CR programs and equitable treatment of employees.

5. CUSTOMER SERVICE

(Field Office Manager, Assistant Field Office Manager, Area Managers, and GS-12, Supervisory Agricultural Commodity Grader Element)

Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive, and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relations with external organizations, as required. Keeps the (appropriate manager) and/or team leader informed of difficult and/or controversial issues and unique problems. Takes actions to effectively solve problems before they have an adverse impact on the organization or other employees.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the professional image of USDA by displaying courteous behavior and providing accurate and timely advice to internal and external customers. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Responds to customer questions accurately in accordance with established procedures, with no more than three valid complaints.

Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours 90 percent of the time.

With concurrence from the (**appropriate manager**), represents FGIS at meetings and conferences, and makes effective presentations at stakeholders' meetings to promote Agricultural Marketing Service (AMS), FGIS, Field Management Division (FMD), and the field office goals and initiatives.

Fosters and maintains good working relations with other organizational units, industry groups (such as the United Soybean Board and U.S. Wheat Associates), and external entities to promote AMS, FGIS, FMD, and the Policies and Procedures Branch goals and initiatives.

Provides information requested from industry participants and other interested parties and customers' needs and expectations were met 90 percent of the time with no more than three exceptions.

Responds to complaints and concerns from industry participants or other interested parties within timeframe as specified by the (appropriate manager) with no more than three exceptions. Quality and timeliness of advice and work product meets customers' needs and expectations with no more than three exceptions.

Interacts and cooperates with internal and external customers.

c. Does Not Meet.

Requires repetitive counseling with respect to projecting a professional image and proper interaction with employees, FGIS, and the trade relations.

**6. MISSION RESULTS--INSPECTION AND WEIGHING OPERATION
(Shift Supervisor Element)
(Critical Element)**

Determines the accuracy of graders' interpretations in the application of the standards and grading handbooks, ensures proper procedures are used in the grain weighing operation, and initiates corrective actions to achieve uniformity of interpretations and procedures.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the efficiency and effectiveness of the workplace by employing preventive measures (i.e., Early Alert) necessary to maintain the integrity of the national inspection and weighing system, recommending changes to achieve a more consistent and uniform application of existing policy/procedures, implementing appropriate followup measures to prevent recurring problems, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Ensures specifications of load order are met for each shiploading operation by assigning all required tasks to shift personnel.

Ensures that weighing documents are completed within prescribed procedures and required timeframes with no more than three reports requiring corrections to the employee's procedures.

Ensures sampling and grading are completed and documented in accordance with prescribed procedures within requested timeframes with no more than three reports requiring corrections to the employee's procedures.

Completes and documents any reinspection/appeals in accordance with prescribed procedures immediately with no more than three reports requiring corrections to the employee's procedures.

Completes and documents a walk-through at least once a shift in accordance with prescribed procedures with no more than three reports requiring corrections to the employee's procedures.

Ensures that ACG's interpretive factor results reflect current interpretive lines as specified by Quality Assurance Specialist (QAS) and Board of Appeals and Review (BAR) reviews and appeals results, and potential grading problems are brought to the attention of the field office manager, assistant field office manager, and QAS with no more than three reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling with respect to utilizing nonrevenue-producing time efficiently, responding to service requests timely, and utilizing personnel to effectively plan/coordinate work assignments.

7. INTERPERSONAL RELATIONS

(GS-11 Supervisory Agricultural Commodity Grader (Shift Supervisor) Element)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers and all others in the performance of official duties.

Routinely displays courteous and tactful behavior. Projects a positive and professional image of FGIS.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the work environment by identifying and acting on potential morale problems, maintaining employee self-esteem, improving FGIS and trade relations, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Projects the appropriate image of an FGIS supervisor when handling complaints and problems with employees/trade members with no more than three exceptions. Interacts with employees in order to maintain their performance, morale, and productivity.

Recognizes poor work habits and takes appropriate corrective action in a professional manner.

Identifies situations requiring disciplinary action and initiates followup and appropriate documentation with no more than three reports requiring corrections to the employee's procedures.

Performance is measured by routine observation/supervision.

c. Does Not Meet.

Requires repetitive counseling with respect to projecting a professional image and proper interaction with employees, FGIS, and the trade relations.

**8. QUALITY ASSURANCE PROGRAM FOR GRADING ACCURACY
(GS-12 and GS-11, Supervisory Agricultural Commodity Grader (Quality Assurance Specialist) Element)**

Executes the field office quality assurance program in accordance with the FGIS Quality Handbook.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the quality assurance program by researching available quality information, anticipating grading deficiencies, and implementing an appropriate action plan. Recommends improvements and implements appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Reviews the minimum number of separations for Agricultural Commodity Graders (ACG), Assistant Quality Assurance Specialists (AQAS), or licensed inspectors (LI), as applicable, and tabulates the results in accordance with the FGIS Quality Handbook with no more than three reports requiring corrections to the employee's procedures.

Collects and analyzes monitoring data at least once a month, identifies inspection trends, and initiates appropriate corrective action.

Recognizes grading deficiencies and corrects deficiencies with the ACG, AQAS, or LI immediately. Completes appropriate follow-up actions, including providing training.

Effectively communicates the BAR interpretive lines to AQAS staff, ACG's, and LI's on a continuing basis with no more than three reports requiring corrections to the employee's procedures.

Oversees the separation exchange program by ensuring that at least one sample per week is exchanged with each quality control staff member.
Ensures interpretations are in line with BAR interpretations 90 percent of the time.

Ensures AQAS is aware of current market/crop conditions. Potential grading problems are brought to the attention of inspection personnel and the BAR. Submits a minimum of one separation per month for each primary critical control point to the BAR. Submissions are representative of market channel samples.

c. Does Not Meet.

Requires repetitive counseling with respect to monitoring programs, timeliness in addressing training needs and follow-up actions, and dissemination of interpretive lines in order to effectively administer the quality assurance program.

APPENDIX B Specialists

1. INTERPERSONAL RELATIONS AND EQUAL EMPLOYMENT OPPORTUNITY/ CIVIL RIGHTS (EEO/CR) (Nonsupervisory Element) (Critical Element)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers and all others in the performance of official duties. Routinely displays courteous and tactful behavior. Projects a positive and professional image of the Federal Grain Inspection Service (FGIS).

a. Exceeds.

In addition to the standards in Fully Successful, see Attachment 3.

b. Fully Successful.

Shares work assignments and, workload permitting, assists coworkers in completing work assignments.

Corrects erroneous policies/procedures utilized by official personnel in a diplomatic manner.

Refrains from provoking, harassing, or making unwarranted criticisms/ accusations against other employees.

Performs all duties in a manner that demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business. Adjusts working styles, approaches, and perspectives, and expresses own view as appropriate. Demonstrates positive interpersonal behavior and communication skills.

Completes mandatory civil rights training within required timeframe and verifies recordation in AgLearn.

Demonstrates an awareness of EEO/CR policies and responsibilities, FGIS and the U.S. Department of Agriculture (USDA) goals, and values a diverse workforce.

Displays courteous and tactful behavior routinely. Projects a positive and professional image of FGIS. Takes actions to resolve problems within 24 hours of discovery before they have an adverse impact on the organization or other employees.

Participates in at least one FGIS-sponsored Special Emphasis event.
Protects all Personally Identifiable Information (PII) by complying with all established procedures regarding the collection and handling of information which can be used to distinguish or trace individual's identity. Reports any losses of PII to FGIS's management within one hour.

Demonstrates a basic understanding of the Agency's Safety and Health Program.

Complies with safety and health rules and regulations that apply to all employees.

Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.

c. Does Not Meet.

Requires repetitive counseling in such areas as diplomacy, harassment, and EEO/CR in order to properly interact with individuals and groups inside/outside FGIS in a professional manner.

2. **QUALITY ASSURANCE PROGRAM FOR GRADING ACCURACY (Assistant Quality Assurance Specialist (AQAS) Element)**

Assists in executing the field office quality assurance program in accordance with the Federal Grain Inspection Service (FGIS) Quality Handbook.

a. Exceeds.

In addition to the standards in Fully Successful, employee assists in enhancing the effectiveness and efficiency of the quality assurance program by researching available quality information, anticipating grading deficiencies, and implementing an appropriate action plan. Recommends improvements and implements appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Assists in reviewing the minimum number of separations for each Agricultural Commodity Grader (ACG) and tabulates the results in accordance with the FGIS Quality Handbook with no more than three reports requiring corrections to the employee's procedures.

Assists in collecting and analyzing monitoring data at least once a month, identifies inspection trends, and initiates appropriate corrective action.

Recognizes grading deficiencies and brings corrections to the Quality Assurance Specialist (QAS) attention immediately so corrections can be made with the ACG. Completes appropriate followup actions, including providing training.

Assists in effectively communicating the Board of Appeals and Review (BAR) interpretive lines to QAS staff and ACG's on a continuing basis with no more than three reports requiring corrections to the employee's procedures.

Assists in overseeing the separation exchange program by ensuring that at least one sample per week is exchanged with each Quality Control staff member.

Assists in ensuring QAS' interpretations are in line with the BAR interpretations 90 percent of the time.

Ensures QAS is aware of current market/crop conditions. Potential grading problems are brought to the attention of inspection personnel and the BAR.

Submits a minimum of one separation per month for each primary critical control point to the BAR. Submissions are representative of market channel samples.

c. Does Not Meet.

Requires repetitive counseling with respect to monitoring programs, timeliness in addressing training needs and followup actions, and dissemination of interpretive lines in order to effectively administer the quality assurance program.

3. PROTEIN/OIL TESTING PROGRAM

Carries out the field office quality assurance program with respect to protein/oil determinations.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the protein/oil quality assurance and testing program by anticipating training needs, identifying potential problems and taking appropriate actions, making recommendations which strengthen the overall program, etc. Employee has no documentation in their performance file requiring corrections to work and 98 percent or more of the monitoring sample results are within the acceptable tolerance of the FGIS quality assurance program.

b. Fully Successful.

Conducts the protein/oil quality assurance and testing program in accordance with FGIS' Near-Infrared Transmittance (NIRT) Handbook with no more than three reports requiring corrections to the employee's procedures.

Monitors the accuracy of equipment and individual operators. Discrepancies/ deviations in protein/oil determinations are identified and corrected. Employee has no more than three reports requiring corrections to the employee's procedures.

Investigates protein/oil complaints and submits reports of findings to the (appropriate manager) in accordance with the field office Standard Operating Procedures and the NIRT Handbook.

When applicable, monitors official agencies' protein/oil programs and oversees licensing process of official agency personnel.

Evaluates the quality control data from the official monitoring system for accuracy in accordance with the NIRT Handbook. Results and any required corrections are distributed back to official agencies within 2 weeks of receipt of data.

Completes and documents original, reinspection, and appeal inspections for wheat and barley protein, soybean protein and oil, and corn protein, oil, and starch, as applicable, in accordance with the NIRT Handbook and instructions.

c. Does Not Meet.

Requires repetitive counseling with respect to monitoring activities, appropriate followup action, and timeliness of addressing training needs in order to effectively administer the protein/oil quality assurance program.

4. TRAINING (Collateral Duty Training Specialist Element)

As part of the ACG's overall duties, provides ongoing, on-the-job training and oversight of performance and proficiency in all grading factors and procedures for new ACG, Agricultural Commodity Technician, Agricultural Commodity Aid, and/or seasonal, intermittent, and/or contract employees.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the training program by increased efforts in developing and delivering training materials for local use, seeking expanded avenues for possible training, making recommendations to the (**appropriate manager**) and the FGIS Training Staff which address assessed needs and strengthen the overall training program, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Assists the (appropriate manager) in identifying field office training needs and prepares an annual training plan within established timeframes.

Identifies and maintains a listing of training opportunities for use by field office employees.

Assists employees in the development of their Individual Development Plan (IDP).

Conducts/coordinates training and maintains a library of training aids and audiovisual equipment.

Monitors completion of all required training in collaboration with FGIS Training Staff.

c. Does Not Meet.

Requires repetitive counseling with respect to needs assessment, employee counseling and IDP development, communication of training opportunities, maintenance of training aids and equipment, and documentation to effectively administer the field office training program.

5. SAFETY AND HEALTH (Collateral Duty Safety and Health Officer (CDSHO))

Performs all safety and health duties in conjunction with the CDSHO responsibilities for the field office.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness of the safety program and promotes a healthful work environment by identifying potential problems, submitting improvements to safety procedures, taking preventative actions to decrease/eliminate accidents, etc. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Conducts monthly safety meetings, reviews all work places as required and reports any identified hazards and the abatement status to the (appropriate manager), files the safety reports/records (i.e., annual evaluation, Occupational Safety and Health Administration accident reports, vehicle report, etc.) as required.

Properly maintains the safety library, bulletin board, facility evacuation plan, and safety equipment in accordance with existing instructions with no more than three reports requiring corrections to employee's procedures.

Schedules training in First-Aid Multi Media and cardiopulmonary resuscitation through the (appropriate manager) for all employees as required with no more than three reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling in such areas as conducting monthly safety meetings, submitting required reports timely, and identifying safety hazard in order to maintain an effective safety program.

6. DELEGATED/DESIGNATED AGENCIES OVERSIGHT (Scale Specialist Element)

Performs oversight and guidance on a routine basis to delegated/designated official service providers during scale testing or weighing activities.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the delegated/designated state weighing programs by being attentive to details, maintaining comprehensive records, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Supervises and reviews scale operation and testing performed by delegated/designated agencies following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in the area of supervising the designated/delegated agencies to effectively apply established practices and follow written procedures.

7. SCALE TESTING ACTIVITIES (Scale Specialist Element)

Performs scale testing activities as required and on schedule, coordinates scale testing activities with other FGIS scale specialists and state weights and measures officials.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the weighing program by being attentive to details, maintaining comprehensive records, identifying potential problems, and taking appropriate corrective action. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Coordinates and performs scale testing on a continuous basis with no more than three reports requiring corrections to employee's procedures.

Maintains, updates, and distributes test reports as required within established timeframes with no more than three reports requiring corrections to employee's procedures.

Examines all weighing equipment to assure compliance with the specifications and requirements of Chapter 3 of the Weighing Handbook.

Addresses scale problems and decides if equipment is suitable for maintaining accurate weights following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as scheduling scale testing, providing responses to inquiries, and maintaining records regarding the weighing program to consistently follow appropriate procedures.

8. WEIGHTS TRAINING AND GUIDANCE (Scale Specialist Element)

Provides training and guidance, when necessary, on all weighing and scale testing activities.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the weighing program by being attentive to details, maintaining comprehensive training records, identifying potential problems, and taking appropriate corrective action. Employee has no document in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Provides training and technical guidance to shift supervisors, graders, and technicians, and provides training assistance to chief inspectors involved in the weighing program following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling with respect to the proper application of the weighing instructions and scale testing to effectively administer the weighing program and related duties.

9. GRAIN HANDLING SYSTEMS (Scale Specialist Element)

When required, examines new, renovated, and repaired grain handling systems.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the weighing program by being attentive to details, keeping comprehensive records, identifying potential problems, and taking appropriate corrective action. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Examines grain handling systems to ensure grain flow security following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

Instructs weighing personnel in scale operations, balance certification, and weight registration following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in examining grain handling systems and properly instructing weighing personnel to consistently follow appropriate procedures.

10. TEST WEIGHT REVERIFICATION AND ADJUSTMENTS (Scale Specialist Element)

Coordinates and performs test weight reverification, calibration, and weight adjustment as necessary, when required.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the weighing program by being attentive to details, identifying potential problems, and employing preventative measures necessary to avoid recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Coordinates and performs/supervises test weight reverification activities as scheduled with no more than three reports requiring corrections to employee's procedures.

Maintains, updates, and supplies the Policies and Procedures Branch with the test weight reverification data and recalibration reports within established timeframe, following established practices and written procedures with no more than three reports of inconsistencies and/or significant deviations.

Examines the requirements established by the National Institute of Standards and Technology (NIST) Handbook 105-1 for NIST CLASS F Weights as required with no more than three reports requiring corrections to employee's performance.

c. Does Not Meet.

Requires repetitive counseling in such areas as scheduled test weight reverification and maintaining records requiring the program to consistently follow appropriate procedures.

APPENDIX C Technical Duties

1. MISSION RESULTS--GRADING (USGSA/AMA)

This element supports the U.S. Department of Agriculture (USDA) Strategic Plan Goal 1, "Assist rural communities to create prosperity so they are self-sustaining, re-populating, and economically thriving," Objective 1.2, "Increase agricultural opportunities by ensuring a robust safety net, creating new markets, and supporting a competitive agricultural system. The Agricultural Marketing Service (AMS, Federal Grain Inspection Service (FGIS) Strategic Goal 2, "Facilitate the marketing of U.S. grain and related agricultural products," Objective 2.3, "Provide official grain inspection and weighing services," by ensuring a high degree of responsiveness to organizational leadership, the public, and internal and external customers. The ACG continually reviews, monitors, and strives to improve organizational performance to achieve USDA and FGIS mission results.

This element supports the Federal Grain Inspection Service (FGIS) mission of improving inspection and weighing service delivery to all customers, including farmers, grain handlers, processors, exporters, and international buyers to facilitate the marketing of U.S. grain. The Agricultural Commodity Grader is responsible for applying the official standard and procedures to determine and certify the grade of the product and performing mechanical measurement and visual inspections to establish the type and quality of grain and related commodities.

a. Exceeds.

Documentation (Form 301)

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the workplace by recognizing potential grading problems and taking action to alert appropriate personnel. Samples are graded and results documented at a level recognized as exceeding the general output.

Interpretive accuracy level shall be at least 90 percent. Employee has at least three positive reports and not more than one negative report in their performance file. Each additional negative report of performance can be offset by three positive results.

b. Fully Successful.

Based on the Quality Assurance Specialist, Board of Appeals and Review, or other individual appointed by the Field Office Manager or Assistant Field Office Manager, determines critical interpretive factors at an accuracy level of 80-89 percent. ACG must submit all separations with no more than one exception (as documented on Form 301) and not more than (three to six)¹ reports of inconsistencies and/or significant deviations.

Follows specified procedures, established practices, and written procedures for other grading factors with no more than (three to six)¹ reports of inconsistencies and/or significant deviations.

Employee has no more than (three to six)¹ reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Maintains an accuracy level of less than 80 percent. Requires repetitive counseling in such areas as procedural adherence, documentation, and timelines although the employee completes grading assignments.

¹ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

2. INTERPERSONAL RELATIONS AND EQUAL EMPLOYMENT OPPORTUNITY/ CIVIL RIGHTS (EEO/CR) (Critical Element)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business. Demonstrates awareness of EEO/CR policies and responsibilities of FGIS and USDA goals of working to employ and develop a diverse, yet unified workforce.

a. Exceeds.

In addition to the standards in Fully Successful, see Attachment 3.

b. Fully Successful.

Shares work assignments and, workload permitting, assists coworkers in completing work assignments.

Corrects erroneous policies/procedures utilized by official personnel in a diplomatic manner.

Refrains from provoking, harassing, or making unwarranted criticisms/ accusations against other employees.

Performs all duties in a manner that demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business.

Adjusts working styles, approaches, and perspectives, and expresses own view as appropriate. Demonstrates positive interpersonal behavior and communication skills.

Completes mandatory civil rights training within required timeframe and verifies recordation in AgLearn.

Demonstrates an awareness of EEO/CR policies and responsibilities, FGIS and the U.S. Department of Agriculture (USDA) goals, and values a diverse workforce.

Displays courteous and tactful behavior routinely. Projects a positive and professional image of FGIS. Takes actions to resolve problems within 24 hours of discovery before they have an adverse impact on the organization or other employees.

Participates in at least one FGIS-sponsored Special Emphasis event.

Protects all Personally Identifiable Information (PII) by complying with all established procedures regarding the collection and handling of information which can be used to distinguish or trace individual's identity. Reports any losses of PII to FGIS's management within one hour.

Demonstrates a basic understanding of the Agency's Safety and Health Program.

Complies with safety and health rules and regulations that apply to all employees.

Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.

c. Does Not Meet.

Requires repetitive counseling in such areas as diplomacy, harassment, and EEO/CR in order to properly interact with individuals and groups inside/outside FGIS in a professional manner.

**3. MISSION RESULT--OBTAIN AND PROCESS SAMPLES (USGSA/AMA)
(Agricultural Commodity Technician (ACT) Element)
(Critical Element)**

This element supports the U.S. Department of Agriculture (USDA) Strategic Plan Goal 1, "Assist rural communities to create prosperity so they are self-sustaining, re-populating, and economically thriving," Objective 1.2, "Increase agricultural opportunities by ensuring a robust safety net, creating new markets, and supporting a competitive agricultural system. The Agricultural Marketing Service (AMS), Federal Grain Inspection Service (FGIS) Strategic Goal 2, "Facilitate the marketing of U.S. grain and related agricultural products," Objective 2.3, "Provide official grain inspection and weighing services," by ensuring a high degree of responsiveness to organizational leadership, the public, and internal and external customers. The ACT continually reviews, monitors, and strives to improve organizational performance to achieve USDA and FGIS mission results.

The Agricultural Commodity Technician (ACT) is responsible for obtaining samples of grain using the appropriate sampling device and utilizing the proper sampling procedures, prepares samples for final determination on a limited number of grains and related commodities. Accurate sample preparation is critical for determining the final grade determination. The ACT conducts near-infrared reflectance testing (NIRT) to determine the protein/oil content of grains and performs daily checktesting procedures to determine the calibration of NIRT analysis equipment.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the workplace by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Obtains official samples of grain with few inconsistencies and/or significant deviations from established practices and written procedures with no more than [three to six1/] reports regarding corrections to employee's procedures.

Prepares samples and makes determinations (test weight, moisture, etc.) with few inconsistencies and/or significant deviations from established practices and written procedures with no more than [three to six1/] reports regarding corrections to employee's procedures.

Demonstrates awareness of factors (i.e., weevils, stones, lumps, etc.) that impact on the quality of grain and informs the inspector in a timely manner with no more than [three to six1/] reports requiring corrections to the employee's procedures.

Carries out protein/oil testing activities by performing such activities as preparing samples, monitoring machine stability, making protein/oil analyses, and communicating results to appropriate personnel in a timely manner with few inconsistencies and/or significant deviations from established practice and written procedures with no more than [three to six^{1/}] reports regarding corrections to the employee's procedures.

Carries out mycotoxin (e.g., aflatoxin, vomitoxin (DON), etc.) testing activities by performing such activities as preparing samples, monitoring machine stability, making mycotoxin analyses, and communicating results to appropriate personnel in a timely manner with few inconsistencies and/or significant deviations from established practice and written procedures with no more than [three to six^{1/}] reports regarding corrections to the employee's procedures.

Recognizes recurring problems which become evident through a review of logs or other sources and responds with an appropriate action plan with no more than [three to six^{1/}] reports regarding corrections to the employee's procedures. Performance is measured by routine observation/supervision.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, moisture determination, sample preparation, and determining appropriate sieve sizes to consistently follow appropriate procedures.

^{1/} The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

4. USGSA AND/OR AMA WEIGHING

Performs official weighing (Class X), either at export or interior locations, and supervision of weighing (Classes X and Y) or weighing by a delegated export state or designated agency.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the workplace by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Performs weighing activities, such as monitoring scale operation, spill estimation, scale tape/light emitting diode (LED) verification, etc., following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, scale monitoring, weighing equipment, spill estimation, grain flow systems, and weighing of sacked grain to consistently follow appropriate procedures.

^{1/} The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

5. SCALE OPERATIONS

Reviews and/or supervises the operation of the scales at either export or interior locations and provides guidance and instruction as needed.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the weighing program by being attentive to details, maintaining comprehensive records, identifying potential problems, and taking appropriate corrective action. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Reviews and supervises scale operations following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as providing responses to inquiries requiring the weighing program, scale operations, and documentation to consistently follow appropriate procedures.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

6. STOWAGE EXAMINATION ON SHIPS, BARGES, HOPPER CARS, AND OTHER CONTAINERS

Conducts stowage examinations to ensure cleanliness and acceptability of storage and handling facilities. Examines the stowage space for residue, contamination, rust and paint scales, insect infestation and identification, and verifies that the stowage space and hatch covers are suitable to maintain the quality of the cargo being loaded.

a. Exceeds.

In addition to the standards under Fully Successful, employee enhances the effectiveness and efficiency of the stowage examination by being attentive to details, communicating effectively with ship personnel/agents, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Examines stowage spaces following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, determining acceptable levels of rust scale, structural integrity, cleanliness (infestation, water, and residue from previous cargo, odor) to consistently follow appropriate procedures.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

7. PERFORMS (USGSA/AMA) ACTIVITIES

Samples, weighs, performs stowage examinations, performs technical analysis on samples of grain covered under the United States Grain Standards Act (USGSA). Samples, checkweighs, checkloads, performs condition of container examinations, inspects nonfood components (containers, strapping, pallets, etc.) for these products to ensure that they meet specification for products covered under the Agricultural Marketing Act (AMA).

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the program by being attentive to details, identifying potential problems, and taking appropriate actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Performs (aflatoxin examinations, falling number analyses, hops coordination, etc.) following established practices and written procedures with no more than [three to six1/] reports requiring corrections to employee's procedures.

Completes and documents work in a timely manner with no more than [three to six1/] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, sample preparation, and analytical procedures to consistently follow appropriate procedures.

NOTE: Rating official will select appropriate act(s) for first parenthesis and indicate function(s) performed in second parenthesis.

8. SAMPLES, CHECKWEIGHS, AND CHECKLOADS AMA PRODUCTS AND NONFOOD COMPONENTS

Samples, checkweighs, and checkloads processed products (such as flour, cake mix, corn meal, vegetable oils, etc.) and nonprocessed products (such as dry beans, peas and lentils, etc.) inspected under the AMA. Samples and inspects nonfood components (containers, strapping, pallets, etc.) for these products to ensure that they meet specifications.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the workplace by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Demonstrates a working knowledge of the applicable product specifications by inspecting AMA products following established practices and written procedures with no more than [three to six1/] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as documenting the use of sampling tables, switching rules, examination of food containers (i.e., use of first and second samples, labeling, etc.) to consistently follow appropriate procedures.

9. MANAGEMENT REVIEWS AND OVERSIGHT OF AGENCIES

Conducts and/or participates in management reviews of official agency operations and development of operational procedures and guidelines to ensure agencies fully comply with the USGSA, regulations, and FGIS directives and procedures. Prepares formal written reports of findings, discusses results with official agency officials, and assists them in improving operations where necessary.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the efficiency and effectiveness of the review process by being attentive to details, preparing comprehensive reports, and striving to improve established guidelines. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Reviews and evaluates FGIS's operation for proper compliance with policies and procedures with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

Ensures review reports and supporting documentation follow established guidelines and are substantially accurate with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

Communicates noncompliance items/areas to the appropriate personnel along with guidance/assistance and followup action provided to remedy the situation with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Onsite reviews by the supervisor reveal recurring discrepancies concerning the information contained in the employee's documentation. As a result, repetitive supervision is needed in such areas as review techniques, report format, and established policies and procedures.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

10. INSPECTION EQUIPMENT CHECKTESTS

Inspects and checktests equipment and diverter samplers used for official inspection. Coordinates repairs, temporary equipment replacements, maintenance contracts, and scheduled recertification of equipment.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the program by being attentive to details, maintaining comprehensive records, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Prepares and distributes checktest samples in sufficient time with few exceptions to allow for testing to be completed in accordance with established schedule with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Analyzes test results and takes appropriate action in a timely manner with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Maintains an adequate inventory of replacement parts and makes necessary repairs to minimize the disruption of the inspection activities with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, timely submission of test samples, appropriate action plans, and equipment repairs in order to maintain an effective equipment testing program.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

11. LICENSING DUTIES

Arranges for and recommends licensing of FGIS contract samplers and official agency personnel, such as samplers, technicians, weighers, and inspectors under the USGSA/AMA. Discusses proper procedures with licensees and arranges for contract sampling services and provides contract compliance reviews to include making corrective actions to assure adherence to standard procedures.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the licensing program by identifying potential problems and taking appropriate actions, making recommendations which strengthen the overall program, clearly communicating applicant deficiencies, and, upon request, assists in providing needed training. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Evaluates performance for license renewal following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

Coordinates the timeliness of processing applications and subsequent issuance of licenses, reviews all documentation, and provides feedback to official agency personnel following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling with respect to reviewing documentation adequately, evaluating applicants accurately, taking appropriate followup action, and processing applications effectively to administer a licensing program.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

12. DISPATCH FIELD OFFICE PERSONNEL

Acts as the dispatcher for field office personnel to ensure that adequate staff is provided to all applicants for service.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Receives and coordinates requests for service with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Under supervisory direction, ensures the provision of service within prescribed regulations, on the date, at the time, and at the requested location.

Maintains an accurate daily record of the location of all employees.

Demonstrates knowledge of overtime, leave policies, and applicable dispatching procedures following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

c. Does Not Meet.

Requires repetitive counseling in such areas as coordinating requests for service, maintaining daily employee location record, and dispatching procedures to consistently follow appropriate procedures.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

13. COMMODITY (AMA) PROGRAM COORDINATION

Acts as the field office coordinator for programs covered under AMA to ensure that adequate staff, either field office personnel contractors or cooperators, is provided to all applicants for service in a timely manner.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Reviews and coordinates requests for service and ensures the service is provided in a timely manner with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Maintains records of sanitation/environment inspections and commodity scale checktests and coordinates appropriate reexaminations.

Maintains appropriate supplies, documentation, and work records following established practices and written procedures.

Reviews contracts and communicates special requirements to the samplers with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

c. Does Not Meet.

Requires repetitive counseling in such areas as providing requested service and maintaining records, supplies, and documentation to consistently follow appropriate procedures.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

14. TRAINS AND MONITORS CONTRACT SAMPLERS

Provides necessary and adequate training to personnel under contract with the local field office to provide sampling and inspection duties for services covered under the AMA. Also, monitors the activities of training contract samplers to ensure that the correct procedures are being observed when performing duties covered under the AMA.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the AMA program by maintaining comprehensive performance records (i.e., review schedules, lesson plans, followup files) identifying potential problems, and taking appropriate corrective actions. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Provides contract samplers with the initial training and necessary information to perform their duties following established practices and written procedures with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

Documents and addresses problems noted during the contractor's compliance review, or which surface outside the review, in a timely manner.

Takes appropriate followup action to ensure adherence to pertinent instructions with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Does not perform work following established practices and written procedures as evidenced during onsite supervisory reviews (includes interviews with contract samplers). Repetitive discrepancies exist between the information contained in the contractor's compliance review report and the contractor's performance.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

15. ASSISTS QUALITY ASSURANCE SPECIALIST (QAS)

(Shift Supervisor/Agricultural Commodity Grader, 9/10 Element Only)

Provides assistance to the QAS in executing the field office quality assurance program in accordance with the FGIS Quality Handbook.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the quality assurance program by assisting the QAS in researching available quality information, anticipating grading deficiencies, and implementing an appropriate action plan. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Disseminates interpretive lines to inspection personnel on a continual basis with no more than [three to six^{1/}] reports requiring corrections to employee's procedures. Recognizes grading deficiencies and assists the QAS in providing training in a timely manner to address/correct grading deficiencies.

Communicates pertinent information to the BAR with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling with respect to monitoring programs and the timeliness in addressing training of interpretive lines to effectively assist in administering the quality assurance program.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

16. ASSISTS PROTEIN COORDINATOR

(Shift Supervisor/Agricultural Commodity Grader, 9/10, Element)

Provides assistance to the protein coordinator in carrying out the field office quality assurance program with respect to protein/oil determinations.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the protein/oil quality assurance and testing program by assisting the protein coordinator in anticipating training needs, identifying potential problems and taking appropriate actions, and making recommendations which strengthen the overall program. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Assists in conducting and maintaining the established protein/oil quality assurance and testing program in the field office and/or the official agencies.

Assists in recommending and providing protein/oil training and technical direction to protein operators and official agency personnel with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Monitors and assesses the accuracy of equipment and individual operators and collaborates with protein coordinator in identifying any discrepancies/ deviations in protein/oil determinations with no more than [three to six^{1/}] reports of inconsistencies and/or significant deviations.

Assists in investigating protein/oil complaints and provides written reports of findings following established practices and written procedures. Employee has no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling with respect to monitoring activities, appropriate followup action, and timeliness of addressing training needs in order to effectively assist in the administration of the protein/oil quality assurance program.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

17. OPERATES AUTOMATED INSPECTION/WEIGHING EQUIPMENT

Ensures accurate weights and accurate documentation of events that support the official weighing certificates and is responsible for detecting and identifying errors in the weighing program.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the information technology operation by identifying potential problems and recommending/initiating appropriate action. Employee trains other employees on the use and capabilities of the system. Employee recognizes and suggests potential improvements to the system. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Remains current with established practices and written procedures for automated inspection/weighing equipment within his/her assigned circuit with no more than [three to six^{1/}] reports requiring corrections to employee's procedures.

Utilizes system security, closed-circuit television, visual display terminals, telecommunications, automated documentation devices, etc., to input data and monitor the inspection, weighing, and loading/unloading of grain.

Apprises supervisor and other personnel of unusual circumstances that could affect certification with no more than [three to six^{1/}] reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling with respect to system operations and security, equipment and file maintenance, and taking appropriate followup actions in maintaining the field office information technology inspection/weighing programs.

1/ The three to six range at the fully successful standard is to recognize the differences in volume and stress level present in the work environments of the different field offices. It is suggested that the New Orleans field office be at six and League City and Portland field offices be at four.

APPENDIX D Administrative

1. MISSION SUPPORT -- ADMINISTRATIVE FUNCTIONS

(Supervisory Certification Specialist and Administrative Support Assistant)
(Critical Element)

This element supports the U.S. Department of Agriculture (USDA) Strategic Plan Goal 1, "Assist rural communities to create prosperity so they are self-sustaining, re-populating, and economically thriving," Objective 1.2, "Increase agricultural opportunities by ensuring a robust safety net, creating new markets, and supporting a competitive agricultural system. The Federal Grain Inspection Service (FGIS) Strategic Goal 2, "Facilitate the marketing of U.S. grain and related agricultural products," Objective 2.3, "Provide official grain inspection and weighing services," by ensuring a high degree of responsiveness to organizational leadership, the public, and internal and external customers. The employee continually reviews, monitors, and strives to improve organizational performance to achieve USDA and FGIS mission results.

This element supports the FGIS mission of improving inspection and weighing service delivery to all customers, including farmers, grain handlers, processors, exporters, and international buyers to facilitate the marketing of U.S. grain. The Supervisory Certification Assistant (or appropriate title) performs duties to enhance and facilitate the functions of Certifications Assistants (as appropriate) in support of FGIS programs and goals and field office activities.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, taking the appropriate corrective actions, etc. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Maintains up-to-date records of hours worked by contractors, verifies contractors' invoices, prepares and submits IAS-001 invoice cover sheets within established time frame with no more than six reports requiring corrections to the employee's procedures.

Procures and/or purchases supplies and services so that office procedures and services are not interrupted:

- Monitors levels of certificates and supplies and accurately completes requisition forms with no more than six reports requiring corrections to the employee's procedures.
- Submits purchasing requests to APHIS within 1 week after purchase is approved.

- Validates PCMS purchases on a weekly basis.

Completes and processes travel documents in accordance with FGIS policy within time frame established by the Federal Regulations with no more than six exceptions.

Prepares SF-52's, Personnel Requests, for the field office in accordance with established procedures with no more than three exceptions.

Prepares drafts, proofreads material prior to submission, and types correspondence within time frames specified by the supervisor. Ensures correspondence is accurate grammatically, punctuated properly, contains no misspelled words, is in the proper format, and conforms to existing policies and procedures with no more than six exceptions.

Maintains files in accordance with established FGIS procedures 90 percent of the time. Retrieves requested material from files, receives and properly distributes correspondence, and updates notices and instructions with no more than six reports requiring corrections to the employee's procedures.

Protects all Personally Identifiable Information (PII) by complying with all established procedures requiring the collection and handling of information which can be used to distinguish or trace an individual's identity. Reports any losses of PII to FGIS's management within 1 hour.

(New Orleans Field Office Only)

Administers the automated time clock system by verifying employees' time and attendance daily. Verifies time and attendance submission to NFC biweekly.

c. Does Not Meet.

Requires repetitive counseling with respect to the accuracy of completed administrative forms, coordinating requests for personnel actions related reports, and necessary followup in order to effectively perform administrative functions.

2. SUPERVISION

(Supervisory Certification Assistant Element)

Supervises the field office's unit of Certification Assistants (CA). Reviews and analyzes certification documents and supporting documents for correctness. Directs the day-to-day activities of the CA unit, resolving complex technical problems, and coordinates the workflow with other employees within the field office.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the workplace by having a contingency plan (i.e., training, equipment maintenance, etc.) for the unanticipated service cancellations, and promoting efficient utilization of staff in response to unexpected service requests. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Ensures bills are completed and submitted weekly.

Ensures export certificates are completed immediately upon applicant's request (usually within 1 day) without revisions 90 percent of the time.

Ensures nonexport certificates are completed (no later than 2 business day) without revisions 90 percent of the time.

Ensures subordinates have an employee performance plan that focuses on results achieved, contains at least one element that is aligned with organizational goals, and are in place within 30 calendar days at the beginning of the appraisal period.

Proactively responds to customer and workforce feedback and takes appropriate actions to resolve concerns and issues within 30 days of receipt to maximize effectiveness.

Analyzes feedback received from employees from the Federal Human Capital Survey (FHCS), the Organizational Assessment Survey, or other feedback mechanisms (focus groups/1-on-1 discussions) and develops action plans to improve future survey results/employee satisfaction.

Accomplishes performance planning and rating responsibilities within 30 days of the beginning of the rating cycle. Completes and documents mid-year reviews within 30 days after the mid-point of the rating cycle.

Completes end-of-year ratings and review meetings within 30 days of the end of the rating cycle and supports subordinates'/employees' performance appraisals by appropriate documentation.

Delegates work in a manner that is fair, equitable, makes maximum use of employee knowledge, skills, abilities, and time.

Prioritizes work of staff to ensure mission-critical work is accomplished according to established criteria for accuracy and timeframes.

Complies with requirements of FGIS Directive 4315.1, Training Policy for Supervisors, Managers, and Executives.

Ensures that all new employees receive training on operational and procedural requirements within timeframes required by management. Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis.

Ensures that all employees receive required training within established guidelines. Assesses effectiveness of service and takes appropriate action to correct any deficiencies; poor performance and misconduct are identified and appropriately addressed in a timely manner.

Initiates award recognition to deserving subordinates/employees; recognizes superior performance and special achievements in staff and rewards employees appropriately.

c. Does Not Meet.

Requires repetitive counseling with respect to the documentation/ certification requirements, appropriate follow-up action, and technical aspects associated with the inspection and weighing process to effectively supervise assigned personnel.

3. **EQUAL EMPLOYMENT OPPORTUNITY/CIVIL RIGHTS (EEO/CR)**

(Supervisory Certification Assistant Element)

(Critical Element)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business. Demonstrates awareness of EEO/CR policies and responsibilities of FGIS and USDA goals of working to employ and develop a diverse, yet unified workforce.

a. Exceeds.

In addition to the standards in Fully Successful, see Attachment 3.

b. Fully Successful.

Completes mandatory civil rights training within required time frame and verifies recordation in AgLearn.

Ensures that employees receive required EEO/CR and Sexual Harassment training within established time frames.

Implements strategic plans for civil rights, as requested.

Enforces all civil rights laws, rules, regulations, and executive orders.

Holds staff accountable for achieving measurable civil rights goals and objectives in all employment and program delivery activities.

Ensures that employees have measurable civil rights performance elements in their annual performance plans.

Provides EEO/CR/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc., at least two times a year.

Responds to issues/actions/allegations according to FGIS procedures and within established time frames with no more than three approved exceptions.

Responds promptly to employee concerns or allegations regarding an EEO/CR matter. In an appropriate manner, resolves complaints at lowest possible level.

Promptly communicates and documents complaints and suggests solutions to the (appropriate manager) and Director of Civil Rights.

Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc., at least two times annually.

Meets USDA-established EEO/CR goals for recruitment, selection, promotion, training, awards, and other personnel activities.

Models appropriate behavior by treating employees, peers, supervisors, and customers with respect, fairness, and politeness with no more than 6-8 valid complaints.

c. Does Not Meet.

Requires repetitive counseling with respect to the administration and promotion of EEO/CR programs, equitable treatment of employees, etc.

4. INTERPERSONAL RELATIONS
(Supervisory Certification Assistant)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers and all others in the performance of official duties.

Routinely displays courteous and tactful behavior. Projects a positive and professional image of FGIS.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the work environment by identifying and acting on potential morale problems, maintaining employee self-esteem, and improving FGIS and trade relations. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Projects the appropriate image of an FGIS supervisor in handling complaints and problems with employees/trade members with no more than three exceptions. Interacts with employees in order to maintain their performance, morale, and productivity.

Recognizes poor work habits and takes the appropriate corrective action in a professional manner.

Identifies situations requiring disciplinary action and initiates follow-up and appropriate documentation with no more than three reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling with respect to projecting a professional image and proper interaction with employees, FGIS, and the grain trade.

5. INTERPERSONAL RELATIONS AND EQUAL EMPLOYMENT OPPORTUNITY/CIVIL RIGHTS (EEO/CR)

(Critical Element)

Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates awareness of EEO/CR policies and responsibilities of FGIS and USDA goals of working to employ and develop a diverse, yet unified workforce.

a. Exceeds.

In addition to the standards in Fully Successful, see Attachment 2. Also, employee enhances the work environment by identifying and acting on potential morale problems, maintaining employee self-esteem, and improving FGIS and trade relations. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Shares work assignments and, workload permitting, assists coworkers in completing work assignments.

Corrects erroneous policies/procedures utilized by official personnel in a diplomatic manner.

Refrains from provoking, harassing, or making unwarranted criticisms/ accusations against other employees.

Performs all duties in a manner that demonstrates fairness, cooperation, and respect towards coworkers, office visitors, and all others in the performance of official business.

Adjusts working styles, approaches, and perspectives, and expresses own view as appropriate. Demonstrates positive interpersonal behavior and communication skills.

Completes mandatory civil rights training within required timeframe and verifies recordation in AgLearn.

Demonstrates an awareness of EEO/CR policies and responsibilities, FGIS and the U.S. Department of Agriculture (USDA) goals, and values a diverse workforce.

Displays courteous and tactful behavior routinely. Projects a positive and professional image of FGIS. Takes actions to resolve problems within 24 hours of discovery before they have an adverse impact on the organization or other employees.

Participates in at least one FGIS-sponsored Special Emphasis event.

Protects all Personally Identifiable Information (PII) by complying with all established procedures regarding the collection and handling of information which can be used to distinguish or trace individual's identity. Reports any losses of PII to FGIS's management within one hour.

Demonstrates a basic understanding of the Agency's Safety and Health Program.

Complies with safety and health rules and regulations that apply to all employees.

Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.

c. Does Not Meet.

Requires repetitive counseling in such areas as diplomacy, harassment, and EEO/CR to properly interact with individuals and groups inside/outside FGIS in a professional manner.

6. CERTIFICATION OF USGSA AND AMA INSPECTIONS

(Critical Element)

Ensures a detailed examination of export work records for correctness in order to generate export certificates and other supporting documentation.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Performs certification activities by reviewing submitted documentation and identifying inaccurate results, factors, or statements; identifies incidents of omission and/or inclusion; takes appropriate corrective actions; and completes certification documents with few inconsistencies and/or significant deviations.

Completes export certificates immediately upon applicant's request (usually within 1 day) without revisions 90 percent of the time.

Completes nonexport certificates (no later than 2 business days) without revisions 90 percent of the time.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, maintaining the acceptable level of accuracy required by regulations, completing certificates in a timely manner, and verifying grade accuracy to consistently follow appropriate procedures.

7. BILLING AND COLLECTION ACTIVITIES

Performs billing and collection activities in the field office.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Accurately completes all billing documents by correctly computing fees and charges, assigning correct management codes and authorization numbers, reviewing transaction registers for billing and collection accuracy with no more than three reports requiring corrections to the employee's procedures.

Completes, submits, and verifies billings weekly with no more than three reports requiring corrections to the employee's procedures.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, using appropriate fee schedules and billing codes, accurately and assigning authorization numbers to consistently follow appropriate procedures.

8. TIME AND ATTENDANCE (T&A) DOCUMENTS

Performs duties involving the T&A system for the field office.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Effectively administers the T&A system by verifying on a daily basis employees' time and attendance.

Correctly applies rules pertaining to overtime, night differential, leave, etc.

Verifies biweekly time and attendance submission to NFC. Receives no more than three leave error reports per fiscal year.

(New Orleans Field Office Only)

Administers the automated time clock system by daily verification of employees' time and attendance.

Validates and analyzes alert reports to resolve discrepancies generated by the system (i.e., missing in and outs, absences).

Enters data slips daily. Correctly applies rules pertaining to overtime, night differential, leave, etc. Ensures system reflects shift assignments with no more than three reports requiring corrections to the employee's procedures.

Verifies management code distribution and uploads from remote sites daily.

Verifies time and attendance submission to NFC biweekly.

c. Does Not Meet.

Requires repetitive counseling in such areas as documentation, completing and mailing T&A's in a timely manner and following up on late checks to consistently follow appropriate procedures.

9. RECEPTIONIST DUTIES

Performs receptionist duties for the field office.

a. Exceeds.

In addition to the standards in Fully Successful, employee enhances the effectiveness and efficiency of the field office by being attentive to details, identifying potential problems, and taking appropriate corrective actions. Recommends improvements and assists in implementing appropriate measures to prevent recurring problems. Employee has no documentation in their performance file requiring corrections to work and has at least three positive reports.

b. Fully Successful.

Greets visitors and answers the telephone for the field office in a courteous and professional manner with no more than three valid complaints.

Ensures external customers are acknowledged within 3 minutes of the time they enter the office with no more than six valid complaints.

Routes telephone inquiries and visitors to the appropriate person and takes and routes messages for unavailable personnel with no more than six valid complaints.

c. Does Not Meet.

Requires repetitive counseling in such areas as proper telephone etiquette, accurately taking messages, and correctly routing inquiries.

1. SAFETY AND HEALTH (REQUIRED ELEMENT OR STANDARD)

Supervisory Personnel

Supervisors must have the following measurable standard related to safety and health included in their Supervision (critical) element:

Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved.

Nonsupervisory Personnel

Nonsupervisors must have appropriate language related to safety and health as part of their measurable standards under any selected element (does not have to be a critical element):

Demonstrates a basic understanding of FGIS's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.

**2. PERSONALLY IDENTIFIABLE INFORMATION
(Required Element or Standard for Anyone Having Access to Personally Identifiable Information)**

This standard is required to be in an employee's elements and standards when they have access to information about an individual maintained by FGIS, including, but not limited to, financial transactions, medical history, or criminal history and information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information which is linked or linkable to an individual.

Protects all Personally Identifiable Information (PII) by complying with all established procedures regarding the collection and handling of information which can be used to distinguish or trace an individual's identity. Reports any losses of PII to FGIS's management within 1 hour.

ATTACHMENT 2 SUPERVISOR'S CHECKLIST OF APPRAISAL STEPS

- a. Determine which employees of the field office are covered under the Performance Appraisal System (PAS).
- b. With the employee, determine the elements and standards that will cover the majority of their work duties.
- c. Communicate the performance elements and standards to each covered employee. Document receipt by employee.
- d. Observe and document employee's accomplishments (positive and negative) under each element and standard.
- e. Assist employee with Marginal performance in improving performance. Such assistance may include, but is not limited to, formal training, on-the-job training, counseling, and close supervision.
- f. Consult the Marketing and Regulatory Programs Business Services (MRPBS), Human Resources Division, AMS/FGIS Employee Relations Branch, for the proper procedures to withhold a within-grade increase when an employee is performing at the Marginal level and is due a within-grade increase.
- g. Notify an employee in writing of Unacceptable performance (Does Not Meet) and inform the employee of standards that must be met for "Fully Successful" performance. Contact MRPBS, Human Resources Division, AMS/FGIS Employee Relations Branch, for guidance. The employee shall be provided a 45-day period to demonstrate improvement. The supervisor shall assist the employee in improving performance.
- h. Initiate action to reduce in grade, reassign, or remove employee if the employee's performance remains at the Unacceptable level after 45 consecutive days.
- i. Completes and documents mid-year reviews within 30 days after the mid-point of the rating cycle.
- j. Prepare employee(s) final summary rating of record by:
 - (1) Reviewing all FGIS-30I's, Description of Performance, and other documentation for each element and standards.
 - (2) Assigning appropriate rating levels for each element.
 - (3) Considering any/all preliminary summary ratings.
 - (4) Assigning the appropriate summary rating level based on the Decision Table on Form AD-435, Performance Appraisal.
- k. Completes end-of-year ratings and review meetings within 30 days of the end of the rating cycle and supports subordinates'/employees' performance appraisals by appropriate documentation.
- l. Follow Departmental Regulation DR 4040-430, exhibit 2, "Key Timeframes and Requirements" and Exhibit 3, "Performance Plan Checklist".

ATTACHMENT 3 EQUAL EMPLOYMENT OPPORTUNITY/CIVIL RIGHTS (EEO/CR) INFORMATION AND GUIDELINES

1. INTRODUCTION

The purpose of this attachment is to assist in the understanding and successful application of the EEO/CR performance element and standards. It includes the history and purpose of the element and guidelines for its application at both the nonsupervisory and supervisory level. This list of guidelines, however, is provided to stimulate discussions regarding this element. It is not an all-inclusive list; rating officials and employees are encouraged to explore additional ways to reach the “EXCEEDS” level.

Performance for this element will be measured on-the-job performance only. Outside activities will not be used for rating purposes.

2. HISTORY AND PURPOSE OF THE ELEMENT

The requirement for a critical performance element on EEO/CR in the Federal Grain Inspection Service began in 1987 with the institution at the U.S. Department of Agriculture (USDA) level of an EEO/CR element for Senior Executive Service employees. USDA expanded this requirement in 1989 to include all supervisory Performance Management and Recognition System employees. The Framework for Change initiative announced May 3, 1990, extended the coverage of the critical performance element to all employees regardless of their responsibilities. Through this expansion to include all employees, USDA communicated the important message that EEO/CR needs to be an integral part of how all employees go about their everyday responsibilities and the manner in which they treat one another.

The purpose of the EEO/CR element is to assist in creating and fostering an environment that values workforce diversity, ensures that no person is unjustly advantaged or disadvantaged, and provides services that reflect fairness in the delivery of the FGIS programs. An additional function of this element is to reward employees who make significant contributions to EEO/CR objectives.

3. GUIDELINES FOR NONSUPERVISORY EMPLOYEES

Examples To Achieve An “Exceeds Fully Successful” Rating
(This is not intended to be an all inclusive list.)

- (1) Serves as mentor.
- (2) Strives to create harmony and a positive atmosphere in the workplace.
- (3) Demonstrates that cultural diversity and EEO/CR are understood, respected, and valued.

- (4) Voluntarily participates on EEO/CR committees or in various activities and strives to improve and further FGIS's mission in this area.
- (5) Coordinates USDA-sponsored EEO/CR activities (special emphasis programs), etc., when asked to do so by supervisor.
- (6) Brings potential EEO-related problems and issues to management's attention.
- (7) Develops and submits accurate and meaningful articles on EEO/CR to employee newsletter.
- (8) Attends, conducts, or participates in EEO/CR training (except where employees cannot participate for reasons beyond their control).
- (9) Participates in brown bag seminars.
- (10) Is sensitive to the needs and, where possible, accommodates individuals with disabilities.
- (11) Corrects individual(s) or reports to supervisor when witnessing improper behavior or someone making improper statements or telling jokes which may create problems, etc.
- (12) Makes an effort to be knowledgeable about EEO/CR issues and contact points in FGIS for resolution of problems or issues.

4. GUIDELINES FOR SUPERVISORY EMPLOYEES

Examples To Achieve An "Exceed Fully Successful" Rating

(This is not intended to be an all-inclusive list.)

- (1) Serves as mentor.
- (2) Strives to create harmony and a positive atmosphere in the workplace.
- (3) Demonstrates that cultural diversity and EEO/CR are understood, respected, and valued.
- (4) Voluntarily participates on EEO/CR committees or in various activities and strives to improve and further FGIS's mission in this area.
- (5) Coordinates USDA-sponsored EEO/CR activities (special emphasis programs), etc.
- (6) Brings potential EEO-related problems and issues to management's attention.
- (7) Actively accommodates and supports developing underrepresented groups through upward mobility or other EEO/CR programs.

- (8) Develops and submits accurate and meaningful articles on EEO/CR to employee newsletter.
- (9) Attends, conducts, or participates in EEO/CR training (except where employee cannot participate for reasons beyond their control.)
- (10) Sponsors brown bag seminars.
- (11) Makes necessary changes in the work environment and is sensitive to the needs and accommodates employees with disabilities.
- (12) Takes positive steps to overcome numerical imbalances.
- (13) Corrects individual(s) or reports to supervisor when witnessing improper behavior or someone making improper statements or telling jokes which may create problems, etc.
- (14) Makes an effort to be knowledgeable about EEO/CR issues and contact points in FGIS for resolution of problems or issues.
- (15) Promotes a work environment where training, job assignments, and details are provided on a fair and equitable basis.
- (16) Develops and displays EEO/CR displays.
- (17) Provides human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS) awareness information, as appropriate.
- (18) Is proactive in addressing EEO/CR issues and supports a work environment that encourages and supports complaint avoidance and resolution.