



**Grain Inspection, Packers and
Stockyards Administration**

FY 2016

ANNUAL PERFORMANCE REPORT

Including quarterly updates

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PREFACE

This Fiscal Year 2016 Annual Performance Report (APR) provides information on the U.S. Department of Agriculture's Grain Inspection, Packers and Stockyards Administration's (GIPSA) progress achieving the goals, objectives, strategies and means, and performance measures describes in the GIPSA Strategic Plan Fiscal Year (FY) 2016-2020. The APR includes quarterly updates for achievement of the strategies and means for each of the 3 strategic goals and 13 objectives described in the strategic plan. The APR also includes annual updates for achievement of performance measures. Since GIPSA's strategic plan was finalized in spring 2016, the first quarterly status report is the April 30, 2016 report. Thereafter, GIPSA will report quarterly progress by January 31, April 30, July 31, and November 30 each year. The fourth quarterly status report is delayed to allow sufficient time for year-end data to be collected, evaluated, and reported. Also, the final report for each fiscal year will include a summary of overall progress for the fiscal year.

The Government Performance and Results Act of 1993 (GPRA) and the GPRA Modernization Act of 2010 are the Federal statutes that form the basis of Federal agency strategic planning and reporting.

Achievement of Fiscal Year 2016 Performance Targets

Goal	Objective	Performance Measure	Progress
1	1.1	1.1-A: Stakeholder Engagement	 Target 401; Actual 393
		1.1-B: Targeted Outreach	 Target 8; Actual 7
	1.2	1.2-A: Industry Compliance	 Target 83%; Actual 83%
		1.2-B: Certificate Accuracy	 Target 91%; Actual 98.6%
	1.3	1.3: Producer Financial Protection	 Target 45%; Actual ?
	1.4	1.4: Timely Enforcement	 Target 75%; Actual 10%
	1.5	1.5: Quality Assessment	 Target 98%; Actual 98%
	1.6	1.6: Certificate Accuracy	 Target 91%; Actual 98.6%
2	2.1	2.1: Competency Development	 Target 80%; Actual 100%
	2.2	2.2: Training and Employee Development	 Target 25%; Actual 28%
	2.3	2.3-A: Resolution of Informal Complaints	 Target 50%; Actual 80%
		2.3-B: Timely Complaints Processing	 Target 96%; Actual 100%
		2.3-C: Workforce Profiles	 All 4 targets not met
3	3.1	3.1-A: Regulation, Policy, and Procedure Review	 Target 50%; Actual 0%
		3.1-B: Published Policy and Procedures	 Target 25%; Actual 35%
	3.2	3.2-A: Electronic Form Submission	 Target 2%; Actual 1.1%
		3.2-B: Automated Data Capture	 Target 0%; Actual 10%
	3.3	3.3: Operating Deficit or Surplus	 Target 50%; Actual 29%
	3.4	3.4-A: Timely Filing	 Target 75%; Actual 100%
		3.4-B: Safety Audits	 Target 75%; Actual 100%



Met



**On Track To Meet
(within 5% of target)**



Not Met

QUARTERLY HIGHLIGHTS

Fiscal Year 2016 Quarter 1 Progress

- N/A for FY 2016

Fiscal Year 2016 Quarter 2 Progress

Progress for Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

- **Strategic Plan:** GIPSA finalized its GIPSA Strategic Plan for FY 2016-2020. The Administrator provided an overview of the new plan at an all-employee town hall meeting held on May 4, 2016. The plan is posted on the GIPSA's internal and external websites, and a small number of copies were printed for distribution to GIPSA managers, as well as key stakeholders.
- **Outreach:** GIPSA participated in 185 outreach meetings, events, and activities with defined stakeholders, through the end of the second quarter. This equates to 46 percent achievement of the FY16 target of 401 meetings, events, and activities.
- **Certificate Accuracy:** FGIS' current certificate accuracy is at 96.3%, which is well above the 91% targeted level for FY16.
- **Grain and Related Commodity Standards:** FGIS sought public comment through eight *Federal Register* notices for a variety of grains, rice, and grain-related products.

Progress for Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

- **Succession Planning/Employee Development:** GIPSA developed over 10 career paths/guides intended to provide employees with a clear understanding of the path towards career enhancement. Additionally, the Agency's Workforce and Succession plan is in draft and close to completion.
 - **Training and Employee Development:** GIPSA has made great strides in terms of employee development and training. Perhaps most notable is the fact that GIPSA implemented an agency-wide mentoring program that integrated with the USDA mentoring portal. We currently have a total of 90 participants or about 12 percent of current agency employees. They are comprised of about 42 mentors who are mostly senior employees, supervisors and manager, and 48 mentees (about 25 new supervisors and 23 employees). 100 percent of our mentees are matched with a mentor.
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- **Equal Employment Opportunity Program:** Consistent with the GIPSA Strategic Plan Alternative Dispute Resolution FY 2016 goal, to resolve 50% of informal EEO complaints, GIPSA is currently at 50%. Of the six cases that were mediated between October 1, 2015, and 31 March 2016, three cases were either settled or withdrawn.

Progress for Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

- **Modernize Regulations and Increase Consistency, Transparency, and Accessibility:** GIPSA made significant strides with its Signature Process Improvement Project, “Inspection Policy Communication.” In the second quarter, FGIS implemented a document clearance procedure and established a uniform template for all of its divisions to follow.
 - **Improved Operational Efficiency through Increased Automation:** In the second quarter, GIPSA made great strides toward release of its new external website (actually released in the third quarter).
 - **Enhanced Stewardship of Resources:** GIPSA continued to acquire goods and services using shared resources. We have obtained Tier-1 helpdesk services through the USDA/Client Technology Service’s (CTS) contract, moved our file storage to CTS, and obtained network services through CTS.
 - **Workers Compensation:** 100% of reported workers compensation cases were reported and filed within 24 hours of the employee notifying the agency.
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Fiscal Year 2016 Quarter 3 Progress

Progress for Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

- **Outreach:** By the end of the third quarter, GIPSA participated in 281 outreach activities, equating to 71 percent achievement of the FY16 target of 401 meetings, events, and activities. With 75 percent of the fiscal year elapsed, the Agency fell somewhat behind in the third quarter. This may be attributable to the fact that the Civil Rights Staff did not provide any updates this quarter.

While the Agency participated in numerous outreach activities, of particular note were its efforts in planning the centennial celebration of the United States Grain Standards Act (USGSA) and FGIS' 40th anniversary. In recognition of both occurrences, GIPSA's celebration committee devoted much time to producing a website that includes historical photos, past and present images of FGIS staff still serving, administrators, and 100 facts about FGIS as well as the 1916 legislation. The actual USGSA celebratory event took place in the fourth quarter on July 28, 2016.

- **Certificate Accuracy:** At the end of the second quarter, FGIS' certificate accuracy was at 96.3%, which was well above the 91% targeted level for FY16. When third quarter updates were due, the program/database used to determine certificate accuracy was unavailable.
 - **Industry Compliance with the P&S Act:** At the end of the third quarter, P&SP reported that industry compliance with the P&S Act was at 80.7 percent, down 1.7 percent from the second quarter and 2.3% below the FY16 target of 83 percent.
 - **Claim Recovery:** As of the end of the third quarter, P&SP reported 7 dealer claims closed with a 5% recovery rate; two auction market claims closed with a 90% recovery rate; and three packer claims closed with zero recovery. The low recovery rate is mostly due to claims being filed past 60 days.
 - **Timely Enforcement:** P&SP reported that a total of 15 folders had been forwarded to its Litigation and Economic Analysis Division (LEAD) for formal action since the start of the fiscal year. Of the fifteen folders, only one folder has failed to have OGC take action within the 180 days; 12 folders have yet to reach the 180 day threshold; and two or 13% have been assigned to an OGC attorney to seek enforcement.
 - **Grain Quality Assessment:** FGIS reported that it continues to review the comments from the previous quarter's Federal Register notices and continues to work with the University of California-Davis on the rice mill study.
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Progress for Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

- **Workforce and Succession Plan:** In the third quarter, MBS provided a draft copy of the Workforce and Succession Plan to GIPSA programs and support units for comment. MBS anticipates that the plan will be revised, cleared, and finalized in the fourth quarter.
- **Training and Employee Development:** Again during the third quarter, GIPSA made great strides in terms of employee development and training. Perhaps most notable:
 - GIPSA provided classroom training on interviewing and resume writing skills for 70 employees in the New Orleans and League City Field Offices. The training was provided in response to needs expressed during Employee Engagement sessions and through other avenues and as part of GIPSA's employee retention strategy.
 - GIPSA competitively selected 9 participants for the Leadership Development Program in association with the Graduate School USA.
- **Equal Employment Opportunity Program:** The Civil Rights Staff did not provide updates for the third quarter.

Progress for Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

- **Modernize Regulations and Increase Consistency, Transparency, and Accessibility:** FGIS reported that it had removed 62 outdated documents from the website, with 14 more slated for removal upon further review. The total number of inspection policy and procedure documents was reduced by 35%.
 - **Improved Operational Efficiency through Increased Automation:** Items of note include:
 - P&SP reported that 37 P&SP forms were submitted electronically, which equates to just over 1 percent electronic submission. The Agency's target for FY 2016 is 2 percent.
 - In the second quarter, GIPSA began the process of modernizing its web presence with the release of its new external website. Part of this modernization includes making sure that all public-facing documents follow 508 accessibility compliance and guidelines. In the third quarter, GIPSA used third-party software tools to make sure that all posted documents have a consistent look and feel.
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Fiscal Year 2016 Quarter 4 Progress

Progress for Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

- **Outreach:** By the end of the FY, GIPSA had participated in 393 outreach activities, which is just 8 short of its FY16 target of 401. It is important to note that the overall outreach performance is inclusive of targeted outreach - - - an area in which GIPSA intends to make substantial improvements in FY17. In the fourth quarter of FY16, GIPSA's Civil Rights Staff (CRS) hired a full time Deputy Director/Program Manager to assist and aid in the process of outreach and recruitment to drive GIPSA's diversity hiring initiative.
 - **Certificate Accuracy:** At the end of the fourth quarter, FGIS' certificate accuracy of 98.6% far exceeded its target of 91%.
 - **Industry Compliance with the P&S Act:** By the end of the fourth quarter, P&SP met its targeted level of performance of 83% industry compliance.
 - **Claim Recovery:** P&SP reported that 14 claims were opened in FY16, and 10 were closed with a recovery of \$1,354,241. The performance measure related to claim recovery is intended to track the percentage of unpaid livestock sellers' claims recovered over the previous five years. Because data has not been tracked consistently over the last five years, there was not a way to determine a five year percentage of claims. It is anticipated that the new Packers Automated System 2.0 will provide P&SP with a means to consistently track data and ultimately allow for the calculation of claim recovery percentages over specified time periods.
 - **Timely Enforcement:** To assist with case backload, P&SP and the USDA/Office of the General Counsel (OGC) agreed that OGC will either file an administrative complaint, forward the case to the Department of Justice, or return the case to GIPSA within 180 days of receipt. Only 10 percent, far short of the target of 75 percent, of folders had action taken within the 180 day threshold. In FY17, P&SP intends to identify an internal staff member responsible for tracking this goal. Also, procedures are needed to inform P&SP and OGC when folders are nearing the 180 day threshold so that action can be taken by the appropriate group.
 - **Grain Quality Assessment:** FGIS met its target of 98 percent of market-identified quality attributes, needed for trading, for which GIPSA has provided standardization.
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Progress for Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

- **Succession and Workforce Plan (SWP):** GIPSA finalized its SWP. In the first quarter of FY17, the SWP will be posted on GIPSA's internal and external websites. All GIPSA employees will be notified and given an opportunity to ask questions and provide feedback for improvement of the plan and the Agency's succession strategy, at large.
 - **Training and Employee Development:** In the fourth quarter, GIPSA celebrated yet another successful mentoring program; completed its employee development series; successfully negotiated with our sister agency, APHIS, so that GIPSA's new supervisors will continue to participate in APHIS' new supervisory training; and held classroom training for 70 supervisors with topics covered including workplace safety, performance and misconduct, and ethics.
 - **Equal Employment Opportunity Program:** GIPSA greatly exceeded two of its performance measures under its objective to implement and maintain a model Equal Employment Opportunity (EEO) Program. With achieving 80 percent resolution, GIPSA greatly exceeded its target of 50 percent of informal complaints resolved through Alternative Dispute Resolution. With reaching 100%, GIPSA also exceeded its target of 96 percent of timely counseled complaints in accordance with EEOC guidelines.
 - **Workforce Profiles:** In FY16, GIPSA did not meet its targets in any of the workforce categories listed. Specifically, the percentages achieved were:
 - **Women:** The percentage of women employed by GIPSA is **65%** of the CLF percentage. Our target was 70%.
 - **Hispanics:** The percentage of Hispanics employed by GIPSA is **44%** of the CLF percentage. Our target was 50%.
 - **Persons with Targeted Disabilities:** Persons with targeted disabilities represent **0.13%** of GIPSA's workforce. Our target was 0.15%.
 - **Veterans:** Veterans represent **10%** of GIPSA's workforce. Our target was 11%.
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Progress for Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

- **Modernize Regulations and Increase Consistency, Transparency, and Accessibility:** FGIS reported that it had reduced the total number of inspection policy and procedure documents by 35% (exceeding its target of 25%). P&SP, while taking on various initiatives to modernize and increase consistency of processes, procedures, policies, and regulations, is still striving to establish a baseline for the percentage of completed P&SP updates per an established review schedule.
 - **Improved Operational Efficiency through Increased Automation:** Items of note include:
 - Of the 5,360 regulated entities, which file an annual report with P&SP, only 59, or 1.1%, of those firms electronically submitted their annual reports. The Agency's target for FY 2016 was 2 percent for electronic submission.
 - FGIS was ahead of schedule and reported that 10 percent of its laboratory equipment and instruments were transmitting results via automated data capture. The program anticipated progress on this initiative in FY16, but did not expect to actually have instrumentation transmitting results via automated data capture. This was due to the Laboratory Information Monitoring System being ahead of schedule.
 - **Enhanced Stewardship of Resources:** GIPSA measures its progress by determining the percentage of its functional areas (i.e., accounts) whose expenditures are at or above 98 percent of their allocation (but not in deficit). The intent of this performance measure is to evaluate how effective GIPSA is at executing its budget once funds are distributed through the allocation process. It does not imply, however, that the Agency's intent is to spend all available appropriations, unless warranted. GIPSA expended 97.4 percent of the funds it allocated, even though all five user-fee funded accounts did not meet the target of being at or above 98 percent expended. GIPSA's budget office worked closely with program offices and held regular budget status meetings with senior leadership throughout the year. This facilitation allowed the leadership team to identify funding priorities and to allocate funds effectively to meet those needs.
 - **Ensuring a Safe and Healthy Workplace:** GIPSA exceeded both performance measures in the safety arena. One hundred percent of injury and illness notices, due to on-the-job injured or ill workers, were filed on time. And, 100 percent of sub-standard conditions, identified as a result of a safety audit, were corrected within 45 days of the audit.
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STRATEGIC GOAL 1

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.1 Strengthen Stakeholder Relationships and their Understanding of the Agency's Role in Facilitating Fair and Competitive Marketing

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

- FGIS participated in **133** outreach meetings, events, and activities with defined stakeholders.
 - FGIS has established two new stakeholder work groups this fiscal year:
 - Official Agency Technology Focus Group
 - Industry Stakeholder Technology Group
 - Some of FGIS upcoming meeting and events include Grain Advisory Committee, Canadian Grain Commission visit, and meeting with the Gulf Exporters in New Orleans.

Quarter 3

- FGIS participated in **83** outreach meetings, events, and activities with defined stakeholders. This brings the total to **216** for FGIS.
 - This highlights for this quarter includes:
 - Grain Advisory Committee Meeting.
 - Multiple Canadian Grain Commission Meetings.
 - Multiple Trade Group visits to the NGC.
 - 20 Site Visits to the Official Agencies by the Domestic Inspection Operation Office.
- Some of the upcoming events include All FGIS Manager Meetings, 100 Years of the USGSA Celebration, and Asia Collateral Duty tour.

Quarter 4

- FGIS participated in **71** outreach meetings, events, and activities with defined stakeholders. This brings the total to **287** for FGIS.
 - The senior Grain Inspectors who participated in South East Asia tour met with 19 different groups during their experience.
-

- FGIS plans for next year:
 - Improve outreach tracking.
 - Update contacts with stakeholder groups to discover new outreach opportunities.
 - Explore the opportunity to extend the Asia Collateral Duty tour from 1 month to 2 months.

P&SP

Quarter 1: N/A for FY16

Quarter 2

- P&SP has participated in **41** outreach meetings, events, and activities with defined stakeholders.

Quarter 3

- P&SP has participated in **25** outreach meetings, events, and activities with defined stakeholders. This brings the total to **66** for P&SP.

Quarter 4

- P&SP has participated in **15** outreach meetings, events, and activities with defined stakeholders. This brings the total to **81** P&SP outreach activities for FY 16.

CRS

Quarter 1: N/A for FY16

Quarter 2

- CRS (APHIS HR on GIPSA's behalf) has participated in **8** outreach meetings, events, and activities with defined stakeholders.
 - GIPSA has a memorandum of understanding wherein the Animal Plant Health Inspection Service (APHIS) provides a variety of human resources (HR) functions for GIPSA, including outreach activities.
 - APHIS HR has created an outreach and recruitment webpage for MRP (which includes GIPSA) to offer excellent opportunities for individuals desiring to work as agriculturalists, commodity inspectors, wildlife biologists, veterinary medical officers, animal health technicians, as well as positions in various professional, technical, administrative, secretarial and clerical, and trades and crafts occupational areas.
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- GIPSA representatives from APHIS HR participated in several USDA Pathways Program on-site hiring events, including:
 - Tuskegee University, November 9 -11, 2015, in Tuskegee, Alabama;
 - Career Fair on the campus of The University of Puerto Rico, December 1, 2015, in Mayaguez (a GIPSA representative also participated);
 - Auburn State University, February 2, 2015 in Auburn, Alabama
 - Alabama A&M, and February 4, 2015 in Huntsville, Alabama
 - North Carolina State University, February 23, 2016 in Raleigh, North Carolina; and
 - North Carolina A&T, February 25, 2016 in Greensboro, North Carolina.

- GIPSA representatives from APHIS HR participated in a Peace Corps Career Fair at the Parma Payne Goodall Alumni Center, Thursday, November 5, 2015, in San Diego, CA.

- A member of the CR Staff attended the Minorities in Agriculture Natural Resources and Related Sciences, 31st Annual Career Fair and Training Conference. The purpose of the training conference was to promote opportunities and involvement of all underrepresented individuals in agriculture. With the continuous movement of agriculture production from labor-intensive to a more technology-driven industry, the aim is to recruit a highly qualified, diverse and well prepared talent.

- The CR Staff is in the process of hiring a Cultural Transformation Manager (CTM). One the CTM's responsibilities will be to serve the technical support person for Historically Black Colleges and Universities (HBCU), USDA National Scholars Program, Student Career Experience Programs, and USDA Liaison Officer Activities. Additionally the CTM will attend outreach events and engage all segments of the market in an effort to increase underrepresented groups in employment.

Quarter 3

- Updates not provided.

Quarter 4

- CRS hired a full time Deputy Director/Program Manager to assist and aid in the process of outreach and recruitment to drive GIPSA's diversity hiring initiative. During this annual reporting period the CRS has begun to contact various minority organizations whose missions are related to agriculture. This included but was not limited to the Minority Serving Institutions.
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- CRS (APHIS HR on GIPSA's behalf) has participated in **7** outreach and **6** recruitment events, this quarter. This brings the total to **21** CRS outreach activities in FY16.
 - GIPSA representatives from APHIS HR participated in several USDA Pathways Program on-site hiring events, including:
 - National Women in Agriculture Association (NWIAA), June 16-18 2016, Olympia Washington;
 - Iowa State University (LGBT, 1862-1994 Student Alumni from surrounding schools), August 24-25, 2016, Ames, Iowa;
 - North Carolina A&T University, September 13-14, 2016, Greensboro, North Carolina;
 - New Mexico State University, September 21-22, 2016, Las Cruces, New Mexico;
 - University of Texas, El Paso; September 22-23, 2016, El Paso, Texas;
 - Peace Corps Career Fair September 22, 2016 Washington DC.

MBS

Quarter 1: N/A for FY16

Quarter 2

- MBS participated in **2** outreach meetings, events, and activities with defined stakeholders.
- MBS's Public Affairs Officer attends bi-weekly briefings held by the USDA's Office of Communications covering Departmental initiatives, special events, and talking points for agency heads to use when speaking about high profile matters USDA matters.
- From August 2016 to present, MBS's Public Affairs has participated in GIPSA's Internet Working Group meetings on a bi-weekly and sometimes weekly basis in anticipation of the May 2 launch of the new GIPSA website.

Quarter 3

- MBS participated in **2** outreach meetings, events, and activities with defined stakeholders, bringing the total to **4** for the year to date.
 - GIPSA's Health and Safety Manager attended the Greater Des Moines Federal Safety Council meeting as a guest to build a working relationship with other federal office in that area.
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- GIPSA's Health and Safety Manager met with elevator personnel in Toledo, Chicago, and Milwaukee to improve our working relationship and commitment to excellence in service and safety at those locations
- GIPSA's web council began using Google Analytics to track activity on GIPSA's new website that was launched on May 2.
- GIPSA's web council began the redesign the internal *In-GIPSA* website.
- In recognition of the centennial of the U.S. Grain Standards Act, and the FGIS 40th anniversary GIPSA's webmaster along with members of the celebration committee produced a website that includes historical photos, past and present images of FGIS staff still serving, administrators, and 100 facts about FGIS as well as the 1916 legislation.
- Public Affairs drafted a congressional resolution commemorating the centennial of the USGSA for FGIS and was submitted to the office of Senator Pat Roberts for consideration.
- Public Affairs continues to publish the GIPSA newsletter monthly.
- Public Affairs Officer attends bi-weekly briefings held by the USDA's Office of Communications covering Departmental initiatives, special events, and talking points for agency heads to use when speaking about high profile matters USDA matters.

Quarter 4

- GIPSA's Public Affairs Officer continued to publish the Agency newsletter; assist the Administrator with his communication needs and those of the Agency; support FGIS' Office of Departmental Initiatives & International Affairs on protocol matters including visits from a Canadian government delegation for a signing ceremony, and delegations from Cuba, South Korea, the Philippines, and Saudi Arabia; and prepare numerous weekly, monthly, and ad hoc reports for MRP and the Office of the Secretary.
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Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.1-A: (FGIS and P&SP) Stakeholder Engagement							
Measurement: Number (#) of outreach meetings, events, and activities with defined stakeholders.							
Stakeholders are defined as producers, growers, inspection agencies, trade associations, government agencies, equipment manufacturers, processors, merchandisers, handler, scientists, consumers, and exporters.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
391	401	393	No	416	432	443	454
<u>Background Narrative:</u> Increased emphasis on outreach and educational activities will strengthen our relationships with regulated entities, industry partners, producers, and State and Federal agencies. This will enable GIPSA to enhance its responsiveness to market trends and new industry practices and increase utilization of our services and compliance with the standards we set.							
<u>Key Results or What's Working:</u> Note that both program areas, as well as the support units, contribute toward achievement of this performance measure. In FY16, each unit separately tracked its own progress. FGIS found that using SharePoint to gather outreach efforts was somewhat successful. In P&SP, simply having a point of contact in each of the regional offices to track this information worked well.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> FGIS staff and contacts at the P&SP regional offices							
<u>Challenges and What Needs to Improve to Meet or Exceed 2017 Target?</u> FGIS is improving reporting methods in order to not miss any outreach event that has been attended. In FY17, FGIS is creating an excel sheet that will be posted on the FGIS SharePoint site and will require managers and other staff to report their activities. In FY16, one individual gathered the data and, in turn, posted it on SharePoint. It was not the most efficient process and was possibly prone to data entry errors. P&SP anticipates that discussing the outreach plan at the beginning of the fiscal year will help ensure a variety of events are attended.							
<u>Justification if Annual Target was not Met</u> The targeted levels of performance, presented in this plan, were based on estimates at the time this strategic plan was prepared. FGIS used FY15 as its baseline - - - a year in which reauthorization occurred and, as a result, the number of outreach events was high. In P&SP, a number of staff were involved with updating regulations, so outreach was somewhat limited. With time and experience, we anticipate that we will be better positioned to estimate targeted levels of performance. Also, in FY16, the travel cap imposed by the Office of Management and Budget impacted the number of events agency staff could attend.							

*Target is inclusive of targets for PM 1.1-A and PM 1.1-B

PM 1.1-B: (CRS) Targeted Outreach

Measurement: Number of established partnerships with members of the underserved and minority groups, community based organizations, community leaders, congressional leaders, educational institutions, and other Federal agencies.

Note: In FY16, GIPSA set targets for establishing partnerships with 2 groups each focused on women and Veterans, as well as establishing partnerships with 2 educational institutions each affiliated with the Hispanic Association of Colleges and Universities and the Historically Black Colleges and Universities. Thus, the total targeted outreach for FY16 is 8.

Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15		FY16		FY17	FY18	FY19	FY20
N/A	8	7	No	12	16	20	24

Background Narrative:

In GIPSA, Civil Rights (CR) is an integral part of every aspect of its personnel policies and practices involving the employment, development, retention, advancement, and treatment of employees. The GIPSA CR Program provides leadership, direction, coordination, and guidance in support of the CR initiatives of USDA and GIPSA. Therefore, periodically, GIPSA evaluates program efforts to monitor rights and achievements towards goals and the extent to which they comply with Federal laws, regulations, guidelines, and policies on equal opportunity.

29 CFR 1614. 102 requires that each agency shall maintain a continuing affirmative employment program to promote equal opportunity and to identify and eliminate discriminatory practices and policies, and that each agency shall establish a Special Emphasis Program (e.g. people with disabilities, Federal women’s program, Hispanic employment program, etc.) as may be necessary to carry out the functions described in the regulation.

Federal Women’s Program

In August 1969, [Executive Order 11478](#), Equal Employment Opportunity in the Federal Government, integrated the Federal Women’s Program into the overall EEO program thereby forming the mandate for establishment of a Federal Women’s Program for each Federal Agency.

Hispanic Employment Program

In November 1970, President Nixon established the Sixteen –Point Program for Spanish-speaking Americans to ensure equal opportunity in federal employment for Spanish surnamed Americans. In February 1971, the program was changed to the Hispanic Employment Program.

Whitehouse Initiative on Historically Black Colleges and Universities

In 1980, Executive Order 12232, established a federal program “...to overcome the effects of discriminatory treatment to strengthen and expand the capacity of Historically Black Colleges and Universities to provide education.” In 1981 Executive Order 12320, established the White House Initiative on Historically Black Colleges and Universities, setting into motion government-wide effort to strengthen our nation’s HBCUs.

Veterans Employment Program

In November 2009, Executive Order 13518 created the Council on Veterans Employment to advise and assist the president in improving employment opportunities for veterans in the Federal Government.

Key Results or What's Working:

1. In the fourth quarter GIPSA civil rights office hired a full time Deputy Director/Program Manager to assist and aid in the process of outreach and recruitment to drive GIPSA's diversity outreach initiative.
2. GIPSA continues to develop recruitment and hiring strategies that will increase the representation of women and minorities in the GIPSA workforce. The agency continues to use summer intern programs (e.g., WINS, HACU, Regulatory Science Initiative, 1890, and WRP) as a long-term approach to addressing identified workforce diversity needs in the future. We also continue to address and focus on implementing the Hispanic Employment 10 Point Plan to increase the employment of Hispanics in GIPSA. Finally, GIPSA has participated jointly with other USDA agencies in support of recruitment initiatives to increase the level of employment for persons with disabilities, and continues to work with Marketing and Regulatory Programs Business Services (MRPBS), Human Resources Division to expand the area of consideration of job announcements to target more applicants with disabilities. GIPSA continues to support the Minorities in Agriculture Natural Resources and Related Sciences (MANNRS) Annual National Conference and Career Fair. The purpose of this conference is to promote agriculture as a field of study for minority students and attract them into the agriculture field.
3. During this reporting period, GIPSA (through its service level agreement with APHIS) strove to improve their Recruitment Plan goals/objectives, as well as focus efforts to increase the source of qualified applicants from the diverse recruiting segments of society. GIPSA utilized a myriad of methods that included attendance at Career Fairs, use of Social Media and Virtual Recruiting, expanding outreach to additional educational institutions, to create an interest in federal employment with the MRP Mission Area (which includes GIPSA, AMS and APHIS). Additionally, the GIPSA Civil Rights Director, Deputy Director and MBS Budget Officer met with the USDA Office of Advocacy and Outreach Directors for Minority Serving Institutions to establish annual goals for student internship hiring. In FY17 CR will begin an aggressive push to work with GIPSA Hiring Officials to participate in the MRP Onsite Pathways application hiring events. Many of these events are held at Minority serving institutions and GIPSA's participation will result in the potential for increases minority hires, as well as women and veterans.
4. GIPSA will continue working with MRPBS to develop and pursue our recruitment goal of attracting veterans by partnering with selected Transition Assistance Program (TAP) classes given by the various branches of service at military facilities across the United States. We will ensure that the MRP and GIPSA brochures are provided to attendees a part of their training packet to the TAP sessions to continue to achieve the expected goal to hire more veterans.
5. In September 2016, GIPSA's CRS began overseeing the development of the Veteran's Advisory Council (VAC). The VAC is established to provide advice for selected veteran's programs and policies.

Data Sources (Unit/Division, System, Annual Reporting, etc.):

National Finance Center MD-715 Data Tables; Cultural Transformation (CT) metrics and milestones report.

Challenges or What Needs to Improve to Meet or Exceed 2017 Target?

Increased outreach and marketing of GIPSA programs and career opportunities. Working with hiring officials to target diverse groups to whom we can direct notification of career opportunities within GIPSA.

CR hired Program Manager in the 4th quarter. Program Manager has begun to reach out to the Office of Advocacy and Outreach and women organizations for plans to increase, internship hiring's as well as to assist with establishing relationships with women organizations.

Justification if Annual Target was not Met

GIPSA met its sub-targets for each of the identified groups, with the exception of veterans' groups.

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.2 Protect Integrity and Confidence in Markets

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

- Our currently certificate accuracy is at 96.3%.
- Official Service Providers (OSP) are notified of their errors and they must determine if corrective and/or preventive actions are necessary and implement those actions.

Quarter 3

- Currently, the program/database used to determine certificate accuracy is unavailable.
- FGIS continues work with field offices and official agencies to improve certificate accuracy.

Quarter 4

- FGIS certificate accuracy is 98.63% for FY 16.
- FGIS refined the certificate accuracy determination process during the 4th quarter.

P&SP

Quarter 1: P&SP reported 82.4% industry compliance with the P&S Act.

Quarter 2: 82.4% industry compliance.

Quarter 3: 80.7% industry compliance.

Quarter 4: 82.7% industry compliance.

Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.2-A: (P&SP) Industry Compliance							
Measurement: Percentage of industry compliance with the P&S Act.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
83%	83%	83%	Yes	83%	84%	84%	85%
<u>Background Narrative:</u> To assess how well the industry complies with the P&SP Act of 1921, P&SP began its random sample program back in 2008. The objective is to randomly select regulated entities to conduct activities to determine the level of industry compliance.							
<u>Key Results or What's Working:</u> Over the years, the P&SP has been able to make improvements to the sampling methods and strengthen procedures to account for entities out of business or that have been visited previously. The sampling lists have been deployed before the start of the new fiscal year which allows the regions to start visiting the entities at the start of the fiscal instead of starting towards the end of the first quarter of the fiscal year.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> P&SP has been able to have more confidence in this data by using the system that automates all of its processes. The sampling calculations uses the system to build the sample with the most recent data available. The sample calculation is conducted by Headquarter's Economists who work with the regions on any issues with the lists.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> P&SP will need to decide if this method of calculating the compliance rate works for changes in the industry and determine if there's a better way calculating this data. Also with plans of moving to a new automated system, the program will need to know if the same data source can be pulled from this new system.							
<u>Justification if Annual Target was not Met</u>							

PM 1.2-B: (FGIS) Certificate Accuracy							
Measurement: Percentage of accuracy of grain inspection certificates.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	91%	98.6%	Yes	92%	93%	94%	99%
<u>Background Narrative:</u> The certificate accuracy measurement is a metric used to determine overall FGIS performance.							
<u>Key Results or What's Working:</u> The Quality Assurance and Compliance Division and the FGISonline team, worked together to improve certificate accuracy reporting.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> FGIS online databases.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> As automation of lab equipment occurs the certificate accuracy should improve. We should not encounter any obstacles for accuracy in FY 17.							
<u>Justification if Annual Target was not Met</u>							

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.3 Enhance Financial Protection of Producers

Quarterly Achievement of Strategies & Means

P&SP

Quarter 1: N/A for FY16

Quarter 2

- Since we recently started tracking the data at the beginning of the fiscal year, the data reported only uses data for the current fiscal year and not on a five year basis. However, with more time we plan to look into retrieving data from the previous four years.

Quarter 3

- There have been a total of 12 claims for FY 2016 which include 10 dealer claims, one auction market claim, and two packer claims. There were four claims opened in FY 2015 but closed in the first three quarters of this year. As of the end of the third quarter there have been 7 dealer claims with a 5% recovery rate, two auction market claims closed with a 90% recovery rate, and three packer claims closed with zero recovery. The low recovery rate is mostly due to claims being filed past 60 days.

Quarter 4

- There were a total of 14 claims opened in FY 2016. These 14 claims included 12 Dealer, two Auction Markets, and two Packers claims. Of the 14 claims, 10 were closed with a recovery and three closed without recovery. The amount owed totaled \$12,593,076 with \$1,354,241 being recovered.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.3: (P&SP) Producer Financial Protection							
Measurement: Percentage of unpaid livestock sellers' claims recovered over the previous five years.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	45%	?	No	47%	49%	51%	53%
<u>Background Narrative:</u> In an effort to determine how protected livestock sellers' are financially, P&SP uses claims filed by the industry to determine recover rates. The agency would like to use this data to make decisions on the best way to protect the industry financially.							
<u>Key Results or What's Working:</u> Over the last few years, the agency has been able to centralize the collection of this data and provide a better means of tracking the data. And with future updates to the Packers Automated System (PAS), the agency will have more data to use to analyze and propose changes that will offer greater protection for livestock sellers.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> LEAD Economist have been tracking this data as well as each region, but there have been different methods used by the two groups. However, with the new PAS 2.0 the agency will have consistency across the board.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> The challenge for now is that the data surrounding claims isn't entered into the PAS consistently and that spreadsheets are used to track this data. Once PAS 2.0 is released, then users will be able to input this data on the folder which will allow for easier retrieval of the data.							
<u>Justification if Annual Target was not Met</u> Due to the data not being tracked consistently over the last five years, there was not a way to determine a five year percentage of claims. For the next reporting cycle, with more clarification about the measure and reviewing the previous three years the data may determine the percentage for that time period.							

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.4 Improve Enforcement

Quarterly Achievement of Strategies & Means

P&SP

Quarter 1: N/A for FY16

Quarter 2

- This measure looks to track OGC taking action on all cases forwarded to them within 180 days. PSP's Headquarters group, LEAD, began this new initiative with OGC starting FY 2016. There have only been ten folders forwarded to OGC for Enforcement since the start of the fiscal year. Although the folders have been forwarded to OGC none have reached the 180 day period. So this data will have to be reported during the 3rd quarter.

Quarter 3

- A total of 15 folders have been forwarded to LEAD for formal action since the start of the fiscal year. Of the fifteen folders, only one folder has failed to have OGC take action within the 180 days, 12 folders have yet to reach the 180 day threshold, and two or 13% have been assigned to an OGC attorney to seek enforcement.

Quarter 4

- There were a total of 31 folders forwarded from LEAD to OGC for the fiscal year. Of the 31 folders, only three had action taken under the 180 day threshold.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.4: (P&SP) Timely Enforcement							
Measurement: Percentage of new cases reviewed and processed within 180 days.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	75%	10%	No	75%	80%	80%	85%
<u>Background Narrative:</u> To assist with case backload, P&SP and OGC agreed that OGC will either file an administrative complaint, forward the case to the Department of Justice, or return the case to GIPSA within 180 days of receipt.							
<u>Key Results or What's Working:</u> Only 10% of folders had action taken within the 180 day threshold.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> Within GIPSA, no group has specifically been assigned the responsibility for tracking this goal. Procedures should be put in place to inform LEAD and OGC when folders are nearing the 180 day threshold so that action can be taken by the appropriate group.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> As stated above, a group needs to be assigned this responsibility to track and inform when cases are nearing the threshold. LEAD will need to work with the new OGC leadership to be sure they are still committed to this goal.							
<u>Justification if Annual Target was not Met</u> No group was specially assigned to track this goal and so no procedures were put in place to alert OGC and LEAD when cases neared or went over the threshold.							

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.5 Provide the Market with Terms and Methods for Quality Assessment

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

- FGIS has sought public comment through *Federal Register* notices for:
 - U.S. Standards for Rough Rice, Brown Rice, for Processing, and Milled Rice.
 - Request for Public Comment on Services Currently Offered or Needed to Facilitate the Marketing of Grain and Related Products.
 - U.S. Standards for Sunflower Seed.
 - U.S. Standards for Oats.
 - U.S. Standards for Triticale.
 - U.S. Standards for Flaxseed.
 - U.S. Standards for Rye.
 - U.S. Standards for Mixed Grain.
- FGIS has also reached out to labs around the country and amassed a list of what services private labs provide and the cost of the service.
- FGIS has recently established an agreement with U.C. Davis to compare the FGIS approved rice mill and to commercial milling standards. Even though rice inspection is an elective service it is important to make sure the services FGIS offers meets the needs of the producers and buyers in the rice market.

Quarter 3

- FGIS continues to review the comments from the previous quarter's *Federal Register* notices and working with U.C. Davis on the rice mill study.

Quarter 4

- The Market Needs Performance measure was a project that was submitted for a Leadership Development Project.
 - Working with Qualysense on reviewing imaging technology and possible uses in the Official System.
 - In FY 2017, FGIS will offer an arsenic in rice reference method.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.5: (FGIS) Quality Assessment							
Measurement: Percentage of market-identified quality attributes needed for trading for which GIPSA has provided standardization.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
97%	98%	98%	Yes	98%	98.2%	98.4%	98.6%
<u>Background Narrative:</u> FGIS has a market needs list that consists of standards and tests that are needed for the facilitation of trade of U.S. grain. FGIS has almost exhausted the current list and is in the process of compiling a new list.							
<u>Key Results or What's Working:</u> FGIS has compiled a list of what services private labs offer and their costs.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> This metric is determined as each item is completed on the list.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> In FY17, GIPSA will begin to develop and deploy an outreach strategy to engage customers and other program stakeholders to stay current with new and/or changing market needs. The outreach process will generate data the Agency will use to establish a new baseline of "unmet" market needs. New annual numerical targets will then be derived from the baseline data and used to measure our success in providing the market with the desired standards and testing methods. As a result, the targets listed above will likely be revised.							
<u>Justification if Annual Target was not Met</u>							

Strategic Goal 1: Provide the Environment for Fair and Competitive Market Practices Between Agricultural Producers and Buyers

Objective 1.6 Provide Timely, Accurate, and Cost-effective Official Grain Inspection and Weighing Services that Meet Market Needs

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

As stated previously:

- Our currently certificate accuracy is at 96.3%.
- Official Service Providers (OSP) are notified of their errors and they must determine if corrective and/or preventive actions are necessary and implement those actions.

Quarter 3

- Unable to run a report to see updated certificate accuracy because of a problem with software/database. The issue is being looked into and will hopefully be fixed by the time for the year-end report

Quarter 4

- FGIS certificate accuracy is 98.63% for FY 16.
 - FGIS refined the certificate accuracy determination process during the 4th quarter.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 1.6: (FGIS) Certificate Accuracy							
Measurement: Percentage of accuracy of grain inspection certificates.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	91%	98.6%		92%	93%	94%	99%
<u>Background Narrative:</u> The certificate accuracy measurement is a metric used to determine overall FGIS performance.							
<u>Key Results or What's Working:</u> The Quality Assurance division and the FGISonline team, worked together to improve certificate accuracy reporting.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> FGIS online databases.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> As automation of lab equipment occurs the certificate accuracy should improve. We should not encounter any obstacles for accuracy in FY 17.							
<u>Justification if Annual Target was not Met</u>							

STRATEGIC GOAL 2

Strategic Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

Objective 2.1 Deploy a Comprehensive Succession and Workforce Plan

Quarterly Achievement of Strategies & Means

MBS

Quarter 1: N/A for FY16

Quarter 2

- MBS prepared a draft 2016-2020 Succession and Workforce plan (SWP) which remains under revision within MBS. The Workforce and Succession plan is aligned with the Agency's new strategic plan.
- MBS, in collaboration with all organizational units, developed over 10 career paths/guides which are posted on the agency's internal website for all staff to access. The career guides list the duties and responsibilities, competencies, and recommended training for key positions within GIPSA, thus providing employees with a clear understanding of the path towards career enhancement.

Quarter 3

- MBS provided a draft copy of the SWP to GIPSA programs/divisions for comments. The suspense date for return is August 4, 2016. Updates to the plan will be made as necessary based on received feedback.

Quarter 4

- GIPSA's SWP was finalized, cleared, and signed this quarter. The SWP will be posted on GIPSA's internal and external websites. All GIPSA employees will be notified where they can review the SWP, ask questions, and or garner additional information as necessary.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 2.1: (MBS) Competency Development							
Measurement: Percentage of competency development road maps made available for critical occupations.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	80%	100%	Yes	85%	90%	95%	100%
<u>Background Narrative:</u> As part of its succession planning and retention strategy, the agency developed 10 career paths/guides which are posted on the agency's internal website for all staff to access. The career guides list the duties and responsibilities, competencies, and recommended training for key positions within GIPSA, thus providing employees with a clear understanding of the path towards career enhancement.							
<u>Key Results or What's Working:</u> This was a collaborative effort between the Agency's Human Resources liaison, Training Officer, and staff in key positions.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> Staff in key positions provided the write-ups							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> In FY16, GIPSA met and exceeded its target. Due, in part to how well-received the roadmaps were and to an evaluation of the Agency's succession and workforce plan, FGIS has determined that there is a need to create additional career guides for the program's workforce. FGIS, however, will be challenged to determine for which positions it will establish competency development roadmaps. FGIS will be especially challenged with the scientific job series, due to the technical aspects of the various positions and the diversity of positions within the program.							
<u>Justification if Annual Target was not Met</u>							

Strategic Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

Objective 2.2 Deploy a Comprehensive Training and Employee Development Program

Quarterly Achievement of Strategies & Means

MBS

Quarter 1: N/A for FY16

Quarter 2

- GIPSA developed over 10 career paths/guides which are posted on the agency's internal website for all staff to access. The career guides list the duties and responsibilities, competencies, and recommended training for key positions within GIPSA, thus providing employees with a clear understanding of the path towards career enhancement.
 - GIPSA is offering a series of webinars for all staff designed to assist them with understanding the online job application process, resume writing, and numerous job competencies, such as problem-solving, professional branding, interpersonal communication, conflict management, and political savvy and networking. This also will include interviewing techniques both in a classroom session and via webinar to address needed skills to assist employees in applying to vacancies that occur primarily due to retirements.
 - For fiscal year 2016, GIPSA successfully negotiated and collaborated with MRPBS/APHIS for the inclusion of GIPSA's new supervisor's in Federal Human Resources Management training. If successful, the fiscal year 2016 pilot may result in a long-term arrangement whereby MRPBS/APHIS provides the FHRM training, as well as other training, for GIPSA.
 - To increase supervisors' and managers' understanding of the hiring process, with the end goal of increasing the efficiency of the hiring process, GIPSA initiated a series of refresher webinars ranging in scope from overviews of the entire hiring process to specific topics, such as position classification. GIPSA also employed the use of various avenues to provide hiring managers with resources and information. GIPSA's internal SharePoint site now includes a section, "GIPSA Hiring Process," which includes resources, such as recommended AgLearn training, sample interview questions to ask of interviewees, and examples of numerous position descriptions, to assist managers with the hiring process.
-

- GIPSA implemented an agency-wide mentoring program that integrated with the USDA mentoring portal. We currently have a total of 90 participants or about 12 percent of current agency employees. They are comprised of about 42 mentors who are mostly senior employees, supervisors and manager, and 48 mentees (about 25 new supervisors and 23 employees). 100 percent of our mentees are matched with a mentor.
- Of about 640 eligible employees, 92 percent, or 588 employees, have completed the IDP process.

Quarter 3

- *Employee Development:* During the third quarter, GIPSA continued to offer webinars for all staff designed to assist them with understanding conflict management, ADR, professional branding, interpersonal workplace etiquette, and political savvy. All webinars are also recorded and made available on GIPSA's internal website for employees to view at their convenience.
 - *Interviewing and Resume Writing Skills:* GIPSA provided classroom training on interviewing and resume writing skills for 70 employees in the New Orleans and League City Field Offices. This training received very positive reviews by participants averaging 9-10 on a 10 point scale. To succeed in an interview and resume writing, a good strategy is needed, along with clear communication skills and knowledge of professional etiquette.
 - *Intern Awareness Training:* GIPSA provided several overviews of the agency's program areas to our summer interns. The intent was to help them learn about the agency's mission and services and to gain a better understanding of their new work environment. Additionally, these sessions introduced the interns to a number of managers and staff.
 - *Leadership Development:* GIPSA competitively selected 9 participants for the Leadership Development program in association with the Graduate School which includes both the USA New Leader and Executive Leadership Programs. These programs are designed for non-supervisors who are seeking to enhance a variety of leadership skills. The focus is on GS 7-13 employees.
 - *Executives:* All GS-15 managers, except one, have attended the Office of Personnel Management's Federal Executive Institute (FEI). The remaining manager was nominated this quarter to attend FEI. Upon his completion of the training, GIPSA will have a 100 percent completion rate.
-

- *360 Process for Executives, Managers, and Supervisors:* Every three years, all GIPSA executives, managers and supervisors are required to conduct a 360-degree assessment survey in conformance with the USDA standards using the Talent Management System established by the Virtual University. During this quarter, one third all current managers and supervisors and all new supervisors completed their 360 assessments.

Quarter 4

- *Employee Development:* GIPSA completed its employee development series with two webinars about workplace etiquette and networking. The agency also wrapped up an annual alternative dispute resolution training requirement for all employees and offered optional generational diversity training. The intent is to help employees improve organizational performance and enhance their careers.
 - *Mentoring Reflection Completions and Mentoring Promotion:* At the end of FY16 GIPSA held its end of year celebration for mentoring. GIPSA's Administrator addressed employees on the value of mentoring and provided an update about the latest research documenting the value of mentoring in creating a more diverse environment. FY16 participants shared their experiences in order to encourage others who are interested in the FY17 program to consider the value mentoring has to offer participants in meeting their goals and improving organizational effectiveness.
 - *New Supervisor Training FY17:* In an effort to consolidate resources, GIPSA will continue to work with APHIS to offer existing Federal Human Resources Management (FHRM) training to all its new supervisors. FHRM Training, a blended approach (online and classroom), meets the requirements of Departmental Directive 4040-412-002. In addition, GIPSA will also be sending new supervisors to additional leadership training to strengthen their skills.
 - *SF-182s Procurement Forms:* On September 20, GIPSA Training Staff offered a webinar to Administrative Personnel to help ensure the consistency and strengthen administration of SF-182 training forms. Job aids and guidance were provided that Administrative Personnel may share with employees, who are requesting training externally using the SF-182. Ensuring that SF-182s are filled out correctly will help the agency better manage the budget process and strengthen the payment process.
 - *Cultural Transformation Training Metrics:* GIPSA Training Staff met with the Transformation Officer to discuss and lay the ground work for cultural transformation training metrics for the FY2017. Due to number of programs and available training resources and needs the group will inventory courses of action for training in FY17 that address Cultural Transformation in conformance with Departmental Initiatives. The intent will be to both address agency and departmental metrics that can strengthen change envisioned by Cultural Transformation.
-

- *Supervisory Training:* In early August, GIPSA/FGIS held classroom training for about 70 supervisors from throughout the program area. In addition to several managerial meetings, mandatory safety, and performance and misconduct training was offered as well as training in other areas, such as labor relations, conflict management, accountability, ethics and difficult conversations. The purpose was to allow participants to network and strengthen cohesion of the organization among supervisors and managers and meet mandatory training requirements.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 2.2: (MBS) Training and Employee Development							
Measurement: Percentage completion of activities identified in Individual Development Plans posted in AgLearn.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	25%	28%	Yes*	30%	40%	55%	75%
<u>Background Narrative:</u> GIPSA has a high rate of Individual Development Plan (IDP) form completion at about 93 percent for all employees at the beginning of each Fiscal Year. However, GIPSA has not tracked the actual completion of developmental items that employees identified within their IDPs.							
<u>Key Results or What's Working:</u> In FY16, GIPSA phased in the use of AgLearn for completion of IDPs for a portion of the Agency. The online system was well-received and allowed for tracking of activity/goal completion							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> The Training Staff pulls IDP completion reports from AgLearn.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> FY17 is the first year we will no longer accept paper IDPs and these will need to all be done on AgLearn. Within AgLearn, some goals are documented automatically when completed. However, external training is not automatically marked complete. AgLearn requires employees who attend external training to manually mark training complete. Ensuring employees go back to their IDPs and update the form will require a concerted educational and communication effort by the Training Office.							
<u>Justification if Annual Target was not Met</u>							

Strategic Goal 2: Sustain and Enrich a Diverse and Engaged Workforce

Objective 2.3 Implement and Maintain a Model Equal Employment Opportunity (EEO) Program

Quarterly Achievement of Strategies & Means

CRS

Quarter 1: N/A for FY16

Quarter 2

- CRS office hired a full-time EEO Specialist Mediator in FY 2015. The mediator currently acts as a third party neutral and uses Alternative Dispute Resolution (ADR) techniques to achieve consensual resolution of disputes. The use of ADR can benefit GIPSA, its customers, and employees. These benefits have achieved effective and mutually satisfactory resolutions of disputes; decreased time, cost, and other resources expended in resolving disputes; fostered a culture of respect and trust between USDA and its customers and employees; and increased customer satisfaction and employee morale.

Consistent with the GIPSA Strategic Plan ADR FY 2016 goal, to resolve 50% of informal EEO complaints, GIPSA is currently at 50%. Of the six cases that were mediated between October 1, 2015, and 31 March 2016, three cases were either settled or withdrawn.

- GIPSA's EEO Specialist/Mediator, has worked with the GIPSA's Training Officer and is scheduled to conduct ADR training, via video-teleconference, on 15 June 2016. This training will be recorded and housed on AgLearn, and will be available for all GIPSA personnel to view to meet current and future Civil Rights training requirements.
- In accordance with EEOC guidelines 29 CFR 1614 and EEOC's MD-110, the GIPSA Civil Rights Staff (CRS) is working to meet its goal of timely processing its informal EEO complaint at a rate of at least 96%. Since the EEO Specialist/Counselor position is vacant, the CRS has had to seek the assistance of other agencies to provide counseling services until the full-time vacancy can be filled.

GIPSA is below the GIPSA Strategic Plan Complaint Processing FY 2016 goal of 96%. Of the four (4) complaint that have been processed this FY, 75% have been process within 30 days.

Quarter 3

- No updates provided
-

Quarter 4

- GIPSA CRS Mediator was requested to conduct four (4) Alternative Dispute Resolution training sessions for all GIPSA personnel to ensure personnel were current on mandatory ADR training prior to the end of FY16.
 - Exceeded the GIPSA Strategic Plan ADR FY 2016 goal to resolve through ADR 50% of informal EEO complaints. GIPSA is currently at 80%. Of the five cases that were mediated between July 1, 2016, and September 30, 2016, four cases were either settled or withdrawn.
 - GIPSA CRS Mediator was requested by name to travel to Stuttgart, Arkansas to conduct training for Alternative Dispute Resolution, Diversity and Inclusion, Equal Employment Opportunity Complaints process, and GIPSA Policies and Procedures. Approximately 50 employees attended the training.
 - GIPSA CRS Mediator attended Advanced Mediation Skills, Techniques, and Approaches training at the Atlanta Justice Center, incorporated in August 2016. The training provided the GIPSA CRS Mediator with the opportunity to broaden his knowledge base for techniques that promote resolution of conflicts and/or disputes.
 - During the fourth quarter of FY16, the counseling program processed **six** informal complaints. Of the **six**, **two** were mediated by GIPSA CSR one (1) was resolved and one is still open, **one (1)** scheduled for mediation, **one** informal complaint closure with a Notice of Right to File, **one** agreement of extension Responding Management Official with resolution, **one** informal still open. The success rate for the fourth quarter of FY16 is 100%.
 - Statics of GIPSA informal complaints during FY2016 were in accordance with EEOC guidelines 29 CFR1614 and EEOC's MD-110. An EEO Counselor was hired June 2016.
 - CRS hired a full time Deputy Director/Program Manager to assist and aid in the process of outreach and recruitment to drive GIPSA's diversity hiring initiative. During this annual reporting period the CRS has begun to contact various minority organizations whose mission are related to agriculture (this includes but is not limited to the Minority Serving Institutions).
 - See write-up on under Objective 1.1 for additional information about outreach.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 2.3-A: (CRS) Resolution of Informal Complaints							
Measurement: Percentage of informal complaints resolved through the ADR program.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	50%	80%	Yes	52%	54%	56%	58%
Background Narrative: The GIPSA Alternative Dispute Resolution (ADR) program provides effective tools to aid in the resolution of discrimination complaints and workplace disputes. ADR is any method of dispute resolution other than formal adjudication. ADR provides an opportunity for quick resolution of workplace disputes in a non-traditional manner designed for early intervention of workplace disputes and conflict. The techniques available through ADR are designed to preserve and rebuild workplace relationships, which, over time, improve the workplace environment for everyone. Most common among the techniques employed at USDA are mediation, conciliation, coaching, and facilitation. It is important to regularly assess the effectiveness of the ADR programs. This can be done through reporting on program activities, implementation of standard operating procedures, and compliance reviews that measure adherence to applicable regulations such as the USDA ADR regulation, DR 4701-001.							
Key Results or What's Working: GIPSA is committed to the support of the ADR program as demonstrated in its hiring of a full-time EEO Specialist/Mediator. The GIPSA Mediator maintains an EEO and non-EEO ADR function/process for all GIPSA employees. GIPSA continues to promote the use of ADR by offering all (100%) informal contacts the option of utilizing mediation as a tool to process and resolve informal EEO complaints, as mediation is the primary choice of ADR. The GIPSA Civil Rights Mediator takes a proactive approach for conducting mediations by contacting the parties within five (5) business days of the complainant contacting the Civil Rights Staff (CRS) and establishing a professional rapport and learning of what the complainant's remedies are for resolving the complaint. The Mediator also provides educational materials to help familiarize the complainant with the ADR process. This proactive measure helps set the tone of professionalism and integrity for coming to the table with a good faith effort in resolving the dispute.							
Data Sources (Unit/Division, System, Annual Reporting, etc.): Quarterly Reporting to the Office of the Assistant Secretary for Civil Rights (OASCR); Inteltrak Electronic Reporting, and the iComplaints Online Reporting System.							
Challenges or What Needs to Improve to Meet or Exceed 2017 Target? Improving communication, education, and awareness are important keys to the eradication of complaints as well as resolving disputes at the lowest possible level. Communication between disputing parties is always challenging and need improvement. However, once parties come to the mediation table, the probability of resolving the issue(s) and/or dispute(s) is very high.							
Justification if Annual Target was not Met							

PM 2.3-B: (CRS) Timely Complaints Processing							
Measurement: Percentage of timely counseled complaints in accordance with EEOC guidelines 29 CFR 1614 and EEOC's MD-110.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	96%	100%	Yes	96%	97%	97%	97%
<u>Background Narrative:</u> GIPSA's CRS will provide for the prompt, fair, and impartial consideration and disposition of GIPSA complaints involving issues of discrimination on the basis of race, color, religion, age, national origin, political affiliation, marital or family status, disability, and gender (including sexual harassment, sexual orientation and identity).							
<u>Key Results or What's Working</u> Statics of GIPSA informal complaints during FY2016 in accordance with EEOC guidelines 29 CFR1614 and EEOC's MD-110. An EEO Counselor was hired June 2016. During this reporting period for FY16, all counseling has been conducted and concluded within the regulatory time from of 30 days.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> GIPSA Civil Rights Staff uses the MicroPact iComplaints on line reporting system that manages and reports EEO complaints and runs EEO reports (e.g. 462 report).							
<u>Challenges or What Needs to Improve to Meet or exceed 2017 Target</u> Ensuring that all employees are aware of the time frame in which they must bring their complaint. Communication is a key factor with an aggrieved. The claim(s) of an aggrieved is to be stated from the aggrieved and indicate the what, where, when, who, and why of the alleged discriminatory action. When claim(s) are not specific, more time is needed for clarification and less time with the Responding Management Official (RMO) and other witnesses to work on resolving the issue. Communication, education and awareness are major factors between both aggrieved and management.							
<u>Justification if Annual target was not Met</u>							

PM 2.3-C: (CRS) Workforce Profiles**Measurement:** Percentage of workforce within specific workforce profiles.

	WOMEN*	HISPANICS*	PERSONS WITH TARGETED DISABILITIES**	VETERANS*** (25% GOAL)
FY 2016	70	50	.15	11%
FY 2017	75	65	.17	15%
FY 2018	80	75	.18	19%
FY 2019	90	85	.19	22%
FY 2020	100	100	2.0	25%

Note: In FY16, GIPSA did not meet its targets in any of the workforce categories listed.

Specifically, the percentages achieved were as follow:

- **Women:** The percentage of women employed by GIPSA is **65%** of the CLF percentage.
- **Hispanics:** The percentage of Hispanics employed by GIPSA is **44%** of the CLF percentage.
- **Persons with Targeted Disabilities:** Persons with targeted disabilities represent **0.13%** of GIPSA's workforce.
- **Veterans:** Veterans represent **10%** of GIPSA's workforce.

*Compared to percentage of the Civilian Labor Force

**Compared to the EEOC's goal of 2%

***Compared to the Secretary's goal of 25% of the USDA workforce

Background Narrative:**Federal Women's Program**

29 CFR 1614. 102 requires that each agency shall maintain a continuing affirmative employment program to promote equal opportunity and to identify and eliminate discriminatory practices and policies, and that each agency shall establish a Special Emphasis Program (e.g. people with disabilities, Federal Women's Program, Hispanic Employment Program, etc.) as may be necessary to carry out the functions described in the regulation. In August 1969, [Executive Order 11478](#), Equal Employment Opportunity in the Federal Government, integrated the Federal Women' Program (FWP) into the overall EEO program thereby forming the mandate for establishment of a FWP for each Federal Agency.

Hispanic Employment Program

In November 1970, President Nixon established the Sixteen –Point Program for Spanish-speaking Americans to ensure equal opportunity in federal employment for Spanish surnamed Americans. In February, the program was changed to the Hispanic Employment Program.

Veterans Employment Program

In November 2009, Executive Order 13518 created the Council on Veterans Employment to advise and assist the president in improving employment opportunities for veterans in the Federal Government.

Key Results or What's Working

During this reporting period, GIPSA (through its service level agreement with APHIS) strove to improve their Recruitment Plan goals/objectives, as well as focus efforts to increase the source of qualified applicants from the diverse recruiting segments of society. GIPSA utilized a myriad of methods that included attendance at career fairs, use of social media and virtual recruiting, expanding outreach to additional educational institutions in order to create an interest in federal employment with the Marketing and Regulatory Programs Mission Area (which includes GIPSA, AMS and APHIS). Additionally, the GIPSA Civil Rights Director, Deputy Director and MBS Budget Officer met with the USDA Office of Advocacy and Outreach Directors for Minority Serving Institutions to establish annual goals for student internship hiring. In FY17, CRS will begin an aggressive push to work with GIPSA hiring officials to participate in the MRP Onsite Pathways application hiring events. Many of these events are held at Minority serving institutions and GIPSA's participation will result in the potential for increases minority hires, Hispanics, and Blacks as well as women and veterans.

The agency was able to sponsor three students from the Hispanic Association of Colleges and Universities (HACU) for FY 2016. GIPSA will continue to sponsor students from HACU to encourage the interest of students to become future employees for the agency.

GIPSA has participated jointly with other USDA agencies in support of recruitment initiatives to increase the level of employment for persons with disabilities, and continues to work with Marketing and Regulatory Programs, Human Resources Staff to expand the area of consideration of job announcements to target more applicants with disabilities.

Data Sources (Unit/Division, System, Annual Reporting, etc.):

National Finance Center's Reporting Center

Challenges or What Needs to Improve to Meet or Exceed 2017 Target?

A review of the NFC Reporting Center data shows that participation rate for all categories, within this objective, are below our targeted levels of performance. GIPSA's CRS hired a Program Manager in the fourth quarter of FY16. He has begun to reach out to the Office of Advocacy and Outreach, Minority Serving Institutions, and a variety of other minority-serving organizations with plans to increase the hiring of both interns and permanent hires.

Justification if Annual Target was not Met

CRS hired Program Manager in the 4th quarter. Program Manager has begun to reach out to the Office of Advocacy and Outreach, as well as Minority Service Institutions.

STRATEGIC GOAL 3

Strategic Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

Objective 3.1 Modernize Regulations and Policies to Respond to Current and Emerging Industry Practices and Increase the Consistency, Transparency, and Accessibility of Policies, Procedures, and Processes.

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

- An outcome of the GIPSA Signature Process Improvement Project (SPI) has led to a FGIS Directive on document clearance procedure and established a uniform template for all divisions to follow. All division handbooks and directives will have the same format and go through the same clearance process.
 - This project has also led to a goal of improving internal communication with staff. In order to accomplish this task, FGIS is planning to utilize SharePoint. FGIS has sent multiple employees this past quarter for SharePoint training.
- Removed, updated, or incorporated instructions that were up on the GIPSA website. FGIS will continue this process throughout the year.

Quarter 3

- FGIS removed 62 outdated documents from the website, with 14 more slated for removal upon further review. The total number of inspection policy and procedure documents was reduced by 35%.
 - FGIS applied its revised process in part or in total to the following documents:
 - Equipment Handbook
 - Quality Handbook
 - Moisture Handbook
 - Sample Inspection and Monitoring System (SIMS) and Subjective Testing and Evaluation Process (STEP), Directive
 - Review Inspections of Grains and Commodities, Directive (Pilot)
 - Exception and Agreement Requirements, Directive
 - Sample Collection Responsibilities for Verifying the Accuracy of Moisture Meter Calibrations Crop Year 2016, Program Notice
-

- Grain Inspection Handbook, Book II, Grain Grading Procedures: Chapter 13, Wheat
- Mechanical Sampling Systems Handbook

Quarter 4

- FGIS has completed a master list of documents (i.e., handbooks, directives, etc.), which includes their status.
- Since the SPI workgroup wrap up, FGIS' Policies, Procedures, and Market Analysis Branch has been assigned the keeper of the list and is working on putting together a figure for this metric.

P&SP

Quarter 1: N/A for FY16

Quarter 2: N/A for FY16

Quarter 3:

- P&SP is preparing to propose rulemaking which will update the specific regulations to in an effort to address current and emerging industry practices. The package will be submitted for clearance and released for comments in the near future.

Quarter 4

- P&SP took on various initiatives to modernize and increase consistency of processes, procedures, policies, and regulations. Currently, P&SP is preparing to propose rulemaking which will update the specific regulations in an effort to address current and emerging industry practices. The package will be submitted for clearance and, pending clearance, is expected to be published by May 31, 2017, for public comments. P&SP is also updating its automated system used to standardized process and build consistency across all three regions and headquarters. The new system will offer the latest technology and provide greater access to all users.

ITS

Quarter 1: N/A for FY16

Quarter 2

- GIPSA has moved its data storage to the CTS cloud where the accessibility and availability is high.
-

- GIPSA is replacing its Windows phones with iPhones, which will make the job of accessing files in SharePoint and Network Drives easier.
- GIPSA is pushing for wider acceptance and use of Lync for communications and collaborations. Use of this technology which is already included with our Microsoft Suite of applications compliments the email and telephone as a medium of communication.

Quarter 3

- GIPSA continues to replace its Windows Phones with iPhones, which will make the job of accessing files in SharePoint and Network Drives easier.
- GIPSA is getting ready to test Windows 10 Image with Office 2016. We are waiting for the image to be made available by CTS. This new Operating system will allow for to use a more secure and stable operating system.

Quarter 4

- GIPSA has moved its data storage to the CTS cloud where the accessibility and availability is high. Currently looking at setting quota to better manage the storage and prevent the storage from being cluttered and wasted.
 - GIPSA is replacing its Windows phones with iPhones, which will make the job of accessing files in SharePoint and Network Drives easier. We have replaced about 80% of our Windows Phones with iPhones. The planned completion date is end of this calendar year.
 - GIPSA is pushing for wider acceptance and use of Lync for communications and collaborations. Use of this technology which is already included with our Microsoft Suite of applications compliments the email and telephone as a medium of communication.
 - GIPSA is getting ready to test Windows 10 Image with Office 2016. We are waiting for the image to be made available by CTS. This new Operating system will allow for to use a more secure and stable operating system. The first phase of the roll out is expected end of November 2016.
-

MBS**Quarter 1: N/A for FY16****Quarter 2**

- During Quarter 2, MBS published in the *Federal Register* one proposed rule and eight Requests for Information.

Quarter 3

- During Quarter 3, MBS published one notice in the *Federal Register*, submitted one notice to MRP for clearance to publish in the Federal Register, and placed into Agency clearance one final rule.
- Established a new process offered by the Office of the Federal Register that will permit GIPSA to submit electronically all dockets to be published in the Federal Register. Until recently, all dockets for publication were required to be submitted on a compact disc along with an original signed document and two copies of the signed document bearing certification by either of GIPSA's two certifying officials that they are true copies of the original document.

Quarter 4

- During Quarter 4, MBS published in the *Federal Register* ten Requests for Information/Notices.
 - During Quarter 4, MBS worked with P&SP (Headquarters and Field) to develop a complete program file plan (inventory of records).
 - GIPSA submitted to the Department and the National Archives and Records Administration a list of positions where email accounts have been identified for permanent storage for the Department's Email Capstone Approach.
-

Annual Progress toward Meeting Targeted Levels of Performance

PM 3.1-A: (P&SP) Regulation, Policy, and Procedure Review							
Measurement: Percentage of completed P&SP updates per established review schedule. Updates to include regulations, handbooks, directives, and policies based on an established review schedule.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	50%	0%	No	55%	60%	65%	65%
<u>Background Narrative:</u> P&SP took on various initiatives to modernize and increase consistency of processes, procedures, policies, and regulations. Currently, P&SP is preparing to propose rulemaking which will update the specific regulations in an effort to address current and emerging industry practices. The package will be submitted for clearance and by May 31, 2017, and, pending clearance, published for public comments. P&SP is also updating their automated system used to standardized process and build consistency across all three regions and headquarters. The new system will offer the latest technology and provide greater access to all users.							
<u>Key Results or What's Working:</u>							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u>							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u>							
<u>Justification if Annual Target was not Met</u>							

PM 3.1-B: (FGIS) Published Policy and Procedures

Measurement: Percentage of published FGIS policies and procedures, both new and existing that have gone through an established vetting process to ensure they are current.

Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	25%	26%	Yes	50%	70%	90%	100%

Background Narrative:

A new document list has been put together since the end of the Signature Process Improvement (SPI) project has ended. FGIS will monitor this document and record the items as they move through the SPI process.

Key Results or What's Working:

The division Directors have a lot of buy-in for updating the handbooks and directives in the program. FGIS is working on selecting the key documents that will be reviewed and revised utilizing the SPI process.

Data Sources (Unit/Division, System, Annual Reporting, etc.):

Received quarterly reports from FGIS' Policies, Procedures, and Market Analysis Branch on which documents have gone through the process.

Challenges or What Needs to Improve to Meet or Exceed 2017 Target?

No challenges currently.

Justification if Annual Target was not Met

Strategic Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

Objective 3.2 Improve Operational Efficiency and Accuracy through Increased Automation

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2

- Requirements for the automating FGIS export laboratory equipment and instruments transmitting results via automated data capture have been submitted for management review.
- Meeting with scale vendors to see what data capture capabilities are available.
- The National Grain Center is working on a Lab Information Management System and will be starting instrument data collection in the next quarter.

Quarter 3

- FGIS continues to work on the elimination of pen, pencil, and calculator (EEPC) requirements.
- Cherokee Nation continue to work on wire frames for the automation of service request. The wire frames will serve as blueprints for next year's development team.

Quarter 4

- FGIS will continue working on the Lab Information Management System (LIMS) and with Cherokee Nation on automation of the service request.
 - FGIS is making a list of all equipment that is planned to be automated. As each item is automated it will be crossed off and added into the percentage as complete.
 - LIMS will be the key on reaching deliverables on this in FY 2017.
 - FGIS plans on beginning EPPC development in FY 2018.
-

P&SP**Quarter 1: N/A for FY16****Quarter 2: Nothing to report****Quarter 3**

- A total of 37 P&SP forms were submitted electronically, which equates to just over 1% of electronic submissions.

Quarter 4

- A total of 59 P&SP Annual Report forms were submitted electronically, which equates to 1.1% of electronic submissions. The Central Reporting Unit has plans to work with the Regional Offices on increasing the number of submitters.

ITS**Quarter 1: N/A for FY16****Quarter 2**

- IT provides technical evaluation and support of the software solutions that the program areas select to assist their missions. IT also works with the program areas to provide support to the end-users of GIPSA applications and hardware. When new technologies emerge in the software and hardware arenas, IT makes it a priority to update existing infrastructure and applications to ensure that the program areas have the best tools to help fulfill their missions.
- In the second quarter, GIPSA began the process of modernizing its web presence with the release of its new external website. Part of this modernization also includes making sure that all public facing documents, including regulations and policies, follow 508 accessibility compliance and guidelines. Third party software tools are being used to make sure all documents have a consistent look and feel. The GIPSA agency website itself was developed using the newly created 18F visual style guide, which focuses on 508-compliant colors and typography for government web design. This increases customer satisfaction, helps create a consistent brand, and increases the accessibility and transparency of the agency itself.

Quarter 3

- ITS provides technical evaluation and support of the software solutions that the program areas have selected to assist them in their missions. ITS also works with the program areas to provide support to the end-users of GIPSA applications and hardware. When new technologies emerge in the software and hardware arenas, ITS
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makes it a priority to update existing infrastructure and applications to ensure that the program areas have the best tools to help fulfill their missions.

- In the second quarter, GIPSA began the process of modernizing its web presence with the release of its new external website. During the third quarter, GIPSA continued with the process. Part of this modernization also includes making sure that all public facing documents, including regulations and policies, follow 508 accessibility compliance and guidelines. Third party software tools are being used to make sure all documents have a consistent look and feel. The GIPSA agency website itself was developed using the newly created 18F visual style guide, which focuses on 508-compliant colors and typography for government web design. This increases customer satisfaction, helps create a consistent brand, and increases the accessibility and transparency of the agency itself.

Quarter 4: Nothing to report

MBS

Quarter 1: N/A for FY16

Quarter 2

- During Quarter 2, GIPSA's Information Specialist met with GIPSA IT staff, P&SP staff and managers, and software developers about P&SP's new PAS 2.0 database system and the Privacy Act requirements for establishing PAS 2.0 as a new GIPSA System of Records.
- On March 30, an MBS staff person briefed GIPSA senior management on USDA's adoption of the "Capstone Approach" to managing all email records in a system that supports records management and litigation requirements including the capability to identify, retrieve, and retain the records for as long as they are needed.

Quarter 3

- GIPSA acquired all contracts to move forward with PAS 2.0 including ICAM (eAuth/HSPD12) as well as the CTS SharePoint on Prem. From a privacy standpoint, GIPSA scheduled a meeting with its Security Documentation Contractor, Newberry, for July 28 with all information to conduct security documentation.
 - Permanent and Non-Permanent email accounts were identified for the Capstone Approach and submitted to the Department.
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Quarter 4

- In accordance with the E-Government Act of 2002, Section 208, establishing the requirement for agencies to conduct privacy impact assessments (PIAs) for electronic information systems and collections, GIPSA is moving forward with conducting the PIA, and the System of Record Notice (SORN) for PAS 2.0. The PIA assessment is a practical method of evaluating privacy in information systems and collections, and documented assurance that privacy issues have been identified and adequately addressed.
 - GIPSA's PAS 2.0 Program Project Team meets periodically to assess objectives and privacy risks during the early stages of the development and potential risks throughout the System Development Life Cycle to determine how PAS 2.0 will affect the privacy of individuals and whether the project objectives can be met while also protecting privacy.
 - By conducting a PIA will ensure that GIPSA is in compliance with laws and regulations governing privacy and demonstrates our commitment to protect the privacy of any personal information we collect, store, retrieve, use and share.
 - GIPSA has developed new template language for all Freedom of Information Act (FOIA) requests in accordance with the new legislation. On June 30, 2016 President Obama signed into law the *FOIA Improvement Act of 2016*. The Act addresses a range of procedural issues, including requirements that agencies must offer services of their FOIA Public Liaison and must notify requesters of services provided by the Office of Government Information Services (OGIS). In addition, agencies are required to allow requesters a period of at least 90 days to file an administrative appeal. The former law only provided 30 days to file an administrative appeal. GIPSA has created templates ensuring all FOIA response determinations cite the new FOIA Improvement Act.
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Annual Progress Toward Meeting Targeted Levels of Performance

PM 3.2-A: (P&SP) Electronic Form Submission							
Measurement: Percentage of P&SP forms submitted electronically.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	2%	1.1%	No	3%	4%	5%	6%
<u>Background Narrative:</u> This program is part of the 2013 Secretary's Signature Improvement process. Forms were created and a process was developed to firms regulated by P&SP to complete and submit their yearly annual report through an online process. Those firms wishing to participate must apply for and obtain a Level 2 E-authentication ID. Currently, 5,360 firms file an annual report yearly. 94, or 1.7% of those firms are registered to file electronically. Of those registered, 59 or 1.1% of the firms actually used the system to file an annual report.							
<u>Key Results or What's Working:</u> Once firms have registered for their e-authentication ID, they have access to a secured website that allows them to complete their annual report form online, then submit the form to P&SP's data management system, updating the annual report database with the figures necessary to determine bonding amounts, and financial condition.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> P&SP Western Regional Office Central Reporting Unit, USDA Service Center eForms Administration, Packers and Stockyards AMS/ECM system, Annual Report process.							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> The challenges are for the agency to contact and register more of our regulated entities to take part in this program. P&SP needs to better educate its employees on the value of encouraging regulated entities to participate in this program. The employees need to receive good training to allow them to successfully enroll regulated entities to the E-Authentication system.							
<u>Justification if Annual Target was not Met</u> Better training will be provided to PS&P employees to encourage more of its regulated entities to register for a Level 2 e-authentication ID and participate in the eForms process.							

PM 3.2-B: (FGIS) Automated Data Capture

Measurement: Percentage of FGIS laboratory equipment and instruments transmitting results via automated data capture.

Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	0%	10%	Yes	10%	25%	50%	90%

Background Narrative:

Our objective is to identify changes in work processes and technologies that increase efficiency of operations and consistency of results, and reduce the paperwork and reporting burden on our staff, stakeholders and customers. Specifically, FGIS is introducing advances in equipment, instruments, and software applications to automate reporting of grain and commodity inspection results.

Key Results or What's Working:

The Laboratory Information Monitoring System (LIMS) is ahead of schedule. Equipment list will be completed in the first quarter of FY 17. At that time, we will update data.

Data Sources (Unit/Division, System, Annual Reporting, etc.):

LIMS and the Elimination of Paper, Pencils, and Calculators (EPPC) project.

Challenges or What Needs to Improve to Meet or Exceed 2017 Target?

Should not have any problems as long as LIMS is able to continue to automate equipment at the National Grain Center.

Justification if Annual Target was not Met

Strategic Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

Objective 3.3 Enhance Stewardship of Resources

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2: Nothing to report.

Quarter 3

- July 1, 2016, FGIS suspended Official Agency fees for one year. After one year FGIS will review the 530 account and determine if they will suspend the fees for another year.
- Upcoming, in the fall the 520 fees will be reviewed in regard to the 5 year average as determined by Reauthorization. The adjusted fees would then take effect on January 1, 2017.

Quarter 4

- FGIS held status of funds meeting with each division and field office monthly.

P&SP

Quarter 1: N/A for FY16

Quarter 2: Nothing to report.

Quarter 3

- GIPSA continues to work in collaboration with the General Services Administration (GSA) with the goal of right-sizing P&SP's office space in Atlanta, Georgia. The ERO is reducing the usable square footage from 13,142 down to 4,733.93 square feet. The revised reduction OA, AGA03391, was signed on June 23rd, 2016 and GSA expects to have costs estimates by the end of July. GIPSA estimates that, once we reduce the space in Atlanta, the monthly rental cost should decrease by at least \$15,000.

Quarter 4: Nothing to report

ITS

Quarter 1: N/A for FY16

Quarter 2

- GISPA is constantly looking for options to acquire goods and services using shared resources. We have obtained Tier-1 helpdesk services through the USDA/Client Technology Service's (CTS) contract, moved our file storage to CTS, and obtained network services through CTS.
- During the second quarter, GIPSA stood up its Enterprise Technology Investment Review Board (ETIRB). The ETIRB is an executive board that will periodically review the GIPSA IT Investment Portfolio, the IT Services Portfolio, and major IT projects to ensure that they align with the vision, mission, goals, and priorities of the GIPSA program. The purpose of the ETIRB is to advise the GIPSA Administrator in support of strategic decision-making regarding the GIPSA IT Investment portfolio and IT Service portfolio. Additionally, the ETIRB exists to ensure that GIPSA Information Technology supports the Agencies business needs and provides the highest return on investment.

Quarter 3

- There are no updates for the 3rd Quarter.

Quarter 4: Nothing to report

MBS

Quarter 1: N/A for FY16

Quarter 2

- Target Met. Results are based on projected End of Year (EOY) balances for each of the six functional areas measures and for the total of all GIPSA expenditures as reflected in the FY16 Period 6 Status of Funds report. The 520, Inspection and Weighing; 690, Grain Regulatory; and 700, Packers and Stockyards accounts are projected to expend 98 percent or more of their allocation and not be in deficit at the end of FY16. Based on these projections, GIPSA will meet the FY16 target of three of seven areas achieving this benchmark. Rice Inspection, 570, and Commodity Inspection, 580, accounts have the lowest projected expenditures to allocation
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percentages at 90 and 89 percent, respectively. GIPSA budget will continue to monitor all account expenditures and reach out to program offices as required to help them identify and resolve any challenges they face in expending their allocations.

Quarter 3

- Target Not Met. Results are based on projected End of Year (EOY) balances for each of the six functional areas measures and for the total of all GIPSA expenditures as reflected in the FY16 Period 9 Status of Funds report. One account out of seven met the target in the third quarter; three accounts must meet or exceed their target in order to succeed in this measure.
 - Accounts that met the target this quarter:
 - The 700, Packers and Stockyards, account is projected to expend 98 percent or more of its allocation and not be in deficit at the end of FY16; this result remains unchanged from the previous quarter.
 - Accounts that changed from meeting to not meeting the target from the previous quarter:
 - The 520, Inspection and Weighing account, dropped to 96 percent projected expenditures from 98 percent in quarter 2 as a result of a \$949K reduction to their end-of-year operating plan projections.
 - The 690, Grain Regulatory Program, account is currently projected to have a \$135K deficit as a result of increased spending from the Office of the Deputy Administrator and Technology and Science Division. The 690 account met its target in the previous quarter with 99 percent projected expenditures.
 - Accounts that are not meeting the target
 - The 530, Official Agencies, account has 94 percent projected expenditures, which is down from 97 percent in the previous quarter.
 - The Rice Inspection, 570, account has 88 percent projected expenditures, which is down from 89 percent in the previous quarter.
 - The Commodity Inspection, 580, account has 91 percent projected expenditures, which is up from 89 percent in the previous quarter.
 - The total of all GIPSA expenditures has 96 percent projected expenditures, which is down from 97 percent in the previous quarter.
 - In order to meet the target of three of the seven areas achieving the benchmark, GIPSA must correct the deficit Grain Regulatory Program deficit. Additionally, GIPSA budget will continue to monitor all account expenditures and reach out to program offices as required to help them identify and resolve any challenges they face in expending their allocations.
-

Quarter 4

- Target Not Met. Results are based on the End-of-Year (EOY) balances for each of the six functional areas measures and for the total of all GIPSA expenditures as reflected in the FY16 EOY Status of Funds report. Two accounts out of seven met the target in the third quarter
 - Accounts that met the target this fiscal year:
 - Both appropriated accounts, the 690, Grain Regulatory Program and 700, Packers and Stockyards Program, expended 98 percent or more of their allocations for FY16.
 - Accounts that did not meet the target this fiscal year:
 - The 520, Inspection and Weighing account: 97.7 percent expended
 - The 530, Official Agencies account: 88.6 percent expended
 - The 570, Rice Inspection account: 90.0 percent expended
 - The 580, Commodity Inspection account: 92.6 percent
 - The total of all GIPSA expenditures was 97.4% expended as compared to the total allocation for the accounts.
 - In order to meet the target of three of the seven areas achieving the benchmark, GIPSA budget will continue to monitor all account expenditures and reach out to program offices as required to help them identify and resolve any challenges they face in expending their allocations.
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Annual Progress Toward Meeting Targeted Levels of Performance

PM 3.3: (MBS) Operating Deficit or Surplus							
Measurement: Percentage of GIPSA's total and key functional area (i.e., accounts) expenditures at or above 98 percent of their allocation and not in a deficit.							
GIPSA's key functional areas are: 520 Inspection and Weighing; 530 Official Agencies; 570 Rice Inspection; 580 Commodity Inspection; 690 Grain Regulatory Program; and 700 Packers and Stockyards Program. The total is the sum of all GIPSA allocations.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	50%	29%	No	57%	71%	86%	86%
Background Narrative:							
The proper stewardship of Federal resources is an essential responsibility of agency managers and staff. Federal employees must ensure that Federal programs operate and Federal resources are used efficiently and effectively to achieve desired objectives. Programs must operate and resources must be used consistent with agency missions, in compliance with laws and regulations, and with minimal potential for waste, fraud, and mismanagement. The intent of this performance measure is to evaluate how effective GIPSA is at executing its budget once funds are distributed through the allocation process and does not imply the intent to spend all available appropriations							
Key Results or What's Working:							
GIPSA was effective at executing the budget for appropriated funding for both programs, the Grain Regulatory Program and the Packers and Stockyards Program. Additionally, GIPSA expended 97.4 percent of the funds it allocated even though all five user-fee funded accounts did not meet the target of being at or above 98 percent expended. GIPSA's budget office worked closely with program offices and held regular budget status meetings with senior leadership throughout the year. This facilitation allowed the leadership team to identify funding priorities and to allocate funds effectively to meet those needs.							
Data Sources (Unit/Division, System, Annual Reporting, etc.):							
GIPSA uses USDA's Financial Management Modernization Initiative (FMMI) as its data source for compiling the End-of-Year Status of Funds report.							
Challenges or What Needs to Improve to Meet or Exceed 2017 Target?							
Challenge may be in office's ability to accurately project expenses.							
Justification if Annual Target was not Met							
This is the first year of reporting on this new measure and further analysis may be required to determine if any adjustments to the target or measurement should be made.							

Strategic Goal 3: Create a Model Work Environment that Supports the Business Needs of Our Employees and Customers

Objective 3.4 Ensure a Safe and Healthy Workplace

Quarterly Achievement of Strategies & Means

FGIS

Quarter 1: N/A for FY16

Quarter 2: Nothing to report.

Quarter 3

- GIPSA's Safety Officer will be presenting at the FGIS Managers Meeting and Supervisor meeting.
- FGIS has worked with the Safety Officer to issue guidance to offices on proper florescent lighting disposal.

Quarter 4

- FGIS drafted safety policy on the number of personnel required to be on pilot ships.
- In order to create more work life balance, FGIS has begun to utilize alternative scheduling with Supervisors in the Portland field office. FGIS plans to utilize alternative scheduling in New Orleans in FY 2017.

P&SP

Quarter 1: N/A for FY16

Quarter 2: Nothing to report.

Quarter 3:

- P&SP leadership makes it a priority to ensure timely responses to and filing of claims for reported injuries and illnesses. Specifically, the timely submission of the Federal Employee's Notice of Traumatic Injury and claim for Continuation of Pay for employees and that proper notification of leave taken within the first 45-days of continuation of pay of the injury.

Quarter 4: Nothing to report.

MBS**Quarter 1: N/A for FY16****Quarter 2**

- 100% of reported workers compensation cases were reported and filed within 24 hours of the employee notifying the agency.
- GIPSA COOP Plan has been revised and all field and regional offices are completing/updating local COOP Plans for natural or manmade events that cause a disruption in normal service delivery.
- Safety Assessments have been conducted of the New Orleans and League City field Offices to ensure compliance with all state and federal safety policies, guidelines, and procedures to ensure all recognized hazards are identified and corrected. During these assessments, identified several deficiencies including improper storage of universal waste and training documentation.
- Completed and submitted the Annual Safety Report to OSHA on the state and health of the GIPSA Safety Program with no major deficiencies noted.
- Workers Compensation Clerks have direct access to an electronic filing system to input new cases immediately upon notification. The cases are then reviewed and submitted to the Department of Labor for consideration. GIPSA is currently exceeding the current fiscal year goals. (100%)

Quarter 3

- 100% of reported workers compensation cases were reported and filed within 24 hours of the employee notifying the agency.
 - Safety Assessments have been conducted of the PSP Midwestern Regional Office, Des Moines, IA and the FGIS Toledo Field Office including Duty Points in Chicago and Milwaukee to ensure compliance with all state and federal safety policies, guidelines, and procedures to ensure all recognized hazards are identified and corrected. During these assessments, identified several deficiencies including improper storage of universal waste and training documentation.
 - Workers Compensation Clerks have direct access to an electronic filing system to input new cases immediately upon notification. The cases are then reviewed and submitted to the Department of Labor for consideration. GIPSA is currently exceeding the current fiscal year goals. (100%)
-

Quarter 4

- GIPSA's Health and Safety Manager Co-sponsored a health and wellness fair that was open to all USDA employees in the Washington, DC area fostering a positive working relationship between the USDA safety community, USDA employees, and health-related service providers.
 - GIPSA's Health and Safety Manager met with elevator personnel in Stuttgart, AR to improve our working relationship and commitment to excellence in service and safety at those locations.
-

Annual Progress Toward Meeting Targeted Levels of Performance

PM 3.4-A: (MBS) Timely Filing							
Measurement: Timely filing of Injury and Illness Notices due to on-the-job injured or ill workers.							
Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	75%	100%	Yes	80%	85%	87%	90%
<u>Background Narrative:</u> GIPSA's Safety and Health Program focuses on eliminating or minimizing losses incurred by the agency, individual employees, and members of the general public as a result of incidents involving injury, illness, and property damage in agency workplaces. When injury and illnesses do occur, the Agency makes every effort to ensure timely responses to and filing of claims for reported injuries and illnesses.							
<u>Key Results or What's Working:</u> Working relationship between the field offices, HQ, and the OWCP contractor have fostered a positive, productive working relationship which allows for timely reporting, notification, and filing of claims.							
<u>Data Sources (Unit/Division, System, Annual Reporting, etc.):</u> Goal 4 - Timely Filing of Injury and Illness Notices https://www.dol.gov/owcp/dfec/power/getxls.htm?id=1300008							
<u>Challenges or What Needs to Improve to Meet or Exceed 2017 Target?</u> We are on pace to meet or exceed FY17 Goal with no major challenges foreseen. Continue the positive collaboration between the injured worker, field/regional office, and HQ (including the OWCP contractor) in the notification and filing process.							
<u>Justification if Annual Target was not Met</u>							

PM 3.4-B: (MBS) Safety Audits

Measurement: Percentage of sub-standard conditions identified as a result of a safety audit and corrected within 45 days of the audit.

Actual	Target	Actual	Target Met	Target	Target	Target	Target
FY15	FY16			FY17	FY18	FY19	FY20
N/A	75%	100%	Yes	85%	90%	95%	99%

Background Narrative:

GIPSA's Safety Officer establishes an annual safety audit review schedule. After each review, he prepares a detailed report of the findings, highlighting deficiencies (i.e., sub-standard conditions).

Key Results or What's Working:

Deficiencies identified this rating period were minor and generally closed on the spot. When required, a corrective action plan was put in place within 45 days.

Data Sources (Unit/Division, System, Annual Reporting, etc.):

Safety audit corrective action plan report.

Challenges or What Needs to Improve to Meet or Exceed 2017 Target?

There are no foreseen reasons to prevent the meeting of the 2017 Target.

Justification if Annual Target was not Met

APPENIX II: EXPLANATION OF DATA-RELATED TERMS

Background Narrative

A short synopsis of why the measurement exists or why it is important. For example, a particular measure may be a USDA focus, or it could be an internal focus for a particular reason.

Key Results or What's Working

A brief summary of the major impacts achieved under this measure/objective.

Data Sources (Unit/Division, Technology, or Annual Reporting)

From where did the data come? For example, is a particular Branch, Division, or Office the “keeper” of the data? Is the data generated by or stored in a particular system, such as the Packers Automated System 2.0, or a particular *FGISonline* application? This is also a good place to identify whether the data is also cited in another document, such as FGIS’ Annual Report to Congress, or a particular budget document, such as the Explanatory Notes. This helps show the importance and the connectivity of the data.

Challenges and What Needs to Improve to Meet or Exceed Next Year's Target

This section assesses whether there are improvements needed to help report on the measure and provides details of how the agency plans to tackle any issues encountered during the year. This also the place to discuss any obstacles that may hinder our ability to meet next year's target.

Justification if Annual Target was not Met

If the annual target was not met, explain why. This is also the place to indicate whether the out years' annual targets need to be adjusted, or if the performance measure needs to be revised or even replaced with a different measure.
