United States Department of Agriculture

Organizational Assessment Survey Action Team
Final Report

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Prepared for:

GIPSA Executive Leadership Team

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Overview

This document is the final report of the Organizational Assessment Survey Action Team. The team was formed from Packers and Stockyards Program (P&SP) volunteers. Selection of members emphasized a diversity of geography and job titles within P&SP. The P&SP OAS team members were: Frieda Achtentuch, Acting Chief Information Officer in Washington, D.C., Brian Burk, Senior Auditor in Aurora, Colorado, Herple Ellis, Marketing Specialist in Atlanta, Georgia, Catherine Grasso, Program Analyst in Washington, D.C., Mary Heisey, Resident Agent in Lancaster, Pennsylvania, Jason Lopez, Resident Agent in Saint George, Kansas, Gary May, Economist in Des Moines, Iowa, Julie Shamblin, Resident Agent in Pierre, South Dakota, and Janell Smalts, Legal Specialist in Aurora, Colorado. Jay Johnson , Regional Director in Des Moines, Iowa was the team's management sponsor. This report will detail the teams work and reasoning through each step of the methodological process. The methodology was provided by the Office of Personal Management (OPM) facilitators, Marangeli Muñoz and Nicholas Martin. The report includes a background describing the events leading to the formation of the team and the dimensions of focus. The underlying issues within each dimension are then formally defined. Processes and analysis used will then be presented for each issue and are included in respective appendices. Action plans are then presented which outline proposed solutions. Each step is accompanied by a proposed time frame and responsible party. Finally, proposed evaluation methods for each action plan are described. Appendices containing various assignments can be found after the main body of the report.

Background

Complying with congressional requests and in an effort to improve ourselves as an agency GIPSA procured OPM expertise to measure its organizational climate through the Organizational Assessment Survey (OAS) and to facilitate the development of team based solutions. The survey was administered during January and February of 2006. The survey addresses 17 overarching dimensions with its composition of questions. Demographic information collected in the survey allowed problems identified to be program specific. Survey results were released on May 16, 2006. Packers and Stockyards program survey response rate was 63% or 113 employees.

On June 9, 2006, Mr. Link , GIPSA's administrator, invited all employees to volunteer for the selection of two OAS action teams. The selected teams met the week of July 17, 2006 for an OPM facilitated workshop and team meeting. P&SP's OAS action team was charged with assessing concerns associated with the dimensions of Innovation and Use of Resources and proposing action plans to alleviate these concerns. These two dimensions accounted for 40% of P&SP's ten most challenging items identified in the survey.

The team drafted a set of rules by which each meeting would be governed. Some of these rules were developed to manage the challenges associated with the virtual aspects of the meetings. The video and teleconferencing communication, including the use of Microsoft Net Meeting, was greatly aided by one of the team members, Ms. Frieda Achtentuch.

Methodology

Once the problem was defined for each issue the methodological process continued by assessing P&SP's change environment using SWOT(Strengths, Weaknesses, Opportunities and Threats) analysis, benchmarking best practices, brainstorming solutions and finally developing of action plans. Team members worked on tasks individually to promote a diversity of views. The team then collectively refined, combined and polished the ideas into one team submission for each issue. The benchmarking and action planning tasks were assigned to three person groups to focus team efforts.

Defining the Issue

Using survey results and focal dimensions the team quickly identified 14 issues meriting attention. Grouping these issues by subject areas the team combined and narrowed the issues to seven without loosing critical themes. The seven issues were aligned with Innovation and Use of Resources dimensions and then

prioritized order by importance. The team defined importance as those issues that were most critical to the overall health and performance of the agency. Realizing that seven was an overwhelming task, three qualifying aspects of each issue were considered during the final ranking. The first, scope of the issue, confirmed the issue was within the agencies control. Secondly, feasibility was considered in several ways. The team considered and estimated whether each issue was feasible with respect to technology, human capital and funding. Last, the effects, both positive and negative, of whether or not the agency solved the issue were estimated. Estimated effects were quantified by simply asking which issue would help the most people within the agency.

Considering the merits of each issue the team decided to focus on the issues of training, communication and standardization. The team quickly re-characterized the issue of standardization within innovation. Standardization was viewed as an integral part of effective training and clear communication and the team felt it could be incorporated into each.

The team formally defined the issues of training, innovation and communication using a template provided by the OPM facilitators. The template begins with a descriptive paragraph of the relationship of the issue with the assigned dimensions. The teams' current condition within P&SP is then described with respect to each issue. The desired conditions which describe the teams' view of each issues ideal state were then set forth as the goal. The problem is then defined as the discrepancy between the current condition and the desired condition and is stated next. Lastly the consequences are discussed. The team listed potential negative outcomes if the issue is not resolved, expecting each issues converse to be true through implementation of the action plans.

Defining the Issues

Training (Appendix 1)

Employees are the most important resource of any organization. The Packers and Stockyards Program (P&SP) must have properly trained employees to be efficient and effective. Employees that are properly trained and informed are more productive and are more innovative in their activities and thoughts because they are more confident in their capabilities and therefore are a better resource for the agency.

Current Condition

Procedural and investigative training is a low priority in budgetary and human resource allocation decisions.

There is no formal training or mentoring program in place that assists in the development of employees, assesses training needs, sets training objectives, evaluates training, and modifies the training program based on evaluation. Generally, the current performance appraisal and IDP process are not being

used to assess training needs. For example, in-office new employee training typically consists of reading the Packers and Stockyards Act (Act), regulations, and the employee manual on an individual basis. New employees are expected to learn procedures and policies by informally asking more experienced staff as issues arise, and answers usually vary widely. Additionally, new employees are typically assigned to travel with experienced employees to train on a particular type of investigation. Because of Agency's emphasis on investigation numbers, trainees are often assigned menial tasks during field visits, such as copying, that speed up the fieldwork but do not offer a meaningful training experience. After one or two trips the new employee is considered a competent investigator. In reality, these initially mentored investigations cover a small fraction of the issues typically encountered during a routine investigation. Consequently, new employees inevitably encounter situations they were never trained to handle. This problem is prevalent throughout P&SP.

A lack of standardized investigative/operational procedures is a major element limiting the effectiveness of P&SP's training goals. P&SP lacks minimum standards of investigative thresholds of evidentiary requirements, verbal/written communicative interaction, investigative reports and investigative review of reports. Operating procedures are not uniform between all levels of the agency (field, regional offices and headquarters). Operational procedures encompass how information is handled and stored, the efficiency of official letter and correspondence from registered entities (field, regional office and headquarters). Overall employees lack an understanding of P&SP work flow process.

Formal training events that convene staff from the regional offices are rare. When these events occur, their effectiveness is limited because the specific policies covered in the training are not yet finalized by the responsible parties. These training events lead to disagreement among regional offices regarding investigative methods. These disagreements remain unresolved, resulting in inconsistent methods of conducting regulatory reviews and investigations between regional offices.

Desired Condition

P&SP would have a formal training and mentoring program that assesses training needs, sets training objectives, evaluates training, and modifies the training program based on evaluation (headquarters and field). The training program would also provide the necessary knowledge and skills to employees (new and existing) in an efficient, structured, and uniform manner. Training program should include investigative training (FLETC), administrative training, mentoring, and continued training as needed (possibly through IDPs). This structured training program should incorporate both office and field work.

An employee would have a person (i.e., mentor) to help them transition into their new, desired, or existing role. The mentor would pass on institutional and procedural knowledge as well as being a sounding board to the employee.

Employees assigned to train or mentor would be effective teachers and not just good at their jobs.

Procedures would be in place to implement new training due to changes in technology, the industry, or the agency. Policy decisions would be made in a timely fashion before any training related to unresolved policies is conducted. Clear standards would be established. Supervisors would address training issues as they arise by working with the employee and training coordinator to handle the issue.

Problem Summary
Financial and human resources are not sufficiently allocated to train P&SP's employees properly. The lack of consistent standards for investigations and operations makes uniform training of employees difficult. Agency focuses on training employees quickly to get them into the field. As a result, the quantity of investigations is attained but quality is compromised. The specialties and proficiencies of current employees are not harnessed to provide training within the agency. Training is not organized and planned in incremental steps of difficulty. Policy training preempts final decisions made concerning the nature of a policy reducing the validity of training and results in a waste of resources.

Consequences
Without a structured training program:

- employees will continue to become discouraged and potentially fail at achieving P&SP's goals
- P&SP may lose its credibility as an expert in its field
- conflicting information may be disseminated to the stakeholders
- inefficient use of human and financial resources will continue to be perpetuated by having to continually train new staff.
- enforcement of the Act will continue to be inconsistent
- employees may not trust management due to frustration about meeting performance levels without proper and consistent guidance
- management may not trust employees due to varying levels of performance
- employee turn over rate will remain high
- employees will be less innovative
- P&SP will continue to focus on short term needs instead of long term benefits.

Innovation (Appendix 2)
Process and product innovation will sustain the P&SP as a viable regulatory agency in the changing livestock industry. P&SP must redefine its culture to be a

cohesive innovative agency to solve the issues in the regulated livestock industry and from within the industry.

Current Condition

Guidance on policies, issues, and interpretation of the Act is not provided timely. Typically decisions are made without the input of experienced personnel. Due to a process burdened with red tape investigators and their supervisors who try to obtain guidance are reluctant to pursue nonstandard investigations.

Employees at all levels are unwilling to respond decisively to questions fielded directly from the industry fearing their decisions or interpretations will not be supported by management. Employees and supervisors defer questions regarding even minor issues to the next level.

A lengthy “Red Tape” approval process is used when new monitoring and surveillance methods or programs are proposed to identify potential violations of the Act .

Employees are not given the latitude to adjust the investigative process or boundaries in response to situational knowledge or events that may arise in the course of an investigation.

Processing formal case files takes too long which defeats the effectiveness of enforcing the Act.

Institutional knowledge is not captured from departing employees within P&SP.

Desired Condition

P&SP would establish an agency culture where an employee’s creative ideas are evaluated and, when appropriate, implemented to improve P&SP’s regulation and monitoring of the livestock industry.

P&SP would develop an environment where field decisions made by employees are better supported by management.

P&SP would have an environment where employees are encouraged to conduct their duties without fear of being reprimanded.

P&SP would develop an agency performance evaluation method that focuses on P&SP’s goals as opposed to numerical comparisons.

P&SP would have an environment where changes in policies and procedures are delivered to employees and managers in a reasoned, explanatory manner.

P&SP would establish a procedure for timely processing of formal case files.

P&SP would implement knowledge management tools that will capture and transfer institutional knowledge using such mechanisms as a mentoring program or various knowledge management tools.

Problem Summary
Employees are not empowered to push the limits of their abilities, duties, and responsibilities nor are they encouraged to develop new and better ways of doing their jobs. Management does not have knowledge management tools that capture and transfer institutional knowledge from departing employees.

Consequences
Without an environment of innovation:

- There may be a loss of ideas that could contribute to the fulfillment of P&SP's mission
- If P&SP does not adopt a culture of innovation, P&SP may not be able to adapt to an ever changing industry
- If the P&SP does not continually seek out innovative ideas of doing business, the industry may perceive that P&SP is not responsive to their complaints and questions and is not aware of current industry trends
- P&SP may lose credibility with the industry due to delay of enforcement of the Act
- Formal case files may not be prosecuted or settled due to the age of transactions
- Employee morale may decrease; employee turnover may increase which may affect productivity and costs
- Employees become overly cautious in their work doing the minimum required to maintain the status quo.
- Critical knowledge from departing employees may be lost which could have an impact on new employee's effectiveness and productivity. Loss of knowledge can affect the Agency in providing continuity in regulatory matters.

Communication (Appendix 3)
Communication to facilitate the cross utilization of employees at all levels is a fundamental necessity to the health, growth, and success of any organization. Employees and managers that are well-informed and briefed timely on the agency's current policies, procedures, activities, responsibilities, and expectations are more confident and uniform in their decisions and are more capable and willing to contribute innovative ideas.

Current Condition
Uniform information regarding standards, cases, and policy requirements are communicated in fragments to an individual, office, or unit and are not equally

disseminated to P&SP employees. P&SP employees need to know why decisions were made on policy issues that affect the whole program.

Shared agency databases and logs are not updated, and many employees are not even aware of the databases and logs. When information is needed, there is a mad scramble within the program that takes employees away from other in-progress projects.

Requests for information between the regional offices and headquarters are not always handled in a timely manner. These requests, at times, require a quick turn around that is not always communicated in a clear, concise manner which inhibit other's work.

The employee manual is not a useful tool for all P&SP employees because it does not adequately communicate P&SP's policies, procedures, and requirements.

Employees are not offered opportunities to provide input in policy and procedural decisions. Most policies are made and implemented without participation of P&SP employees who possess industry and institutional knowledge of the issues. There is no mechanism or procedures that allow for comments/input.

Desired Condition
P&SP would develop a communication system that is timely, complete, and distributes uniform information to employees in order for them to do their jobs effectively and efficiently.

P&SP would have reporting requirements in place with clear deadlines that would be communicated to employees in a timely manner.

P&SP would ask for feedback from knowledgeable personnel prior to issuing a new decision, policy, reporting requirement, or employee manual.

P&SP would have an employee manual in place that would be updated on an as-need-be basis. The employee manual would communicate P&SP's policies, procedures, and requirements clearly and concisely.

P&SP would establish effective and constructive procedures to allow employees to offer input into policy and procedural decisions.

P&SP would maintain agency logs and databases and would ensure that all employees would have knowledge of their content and function within P&SP

Problem Summary
P&SP does not effectively ensure that the policies and procedures within P&SP are uniformly and accurately communicated throughout P&SP. P&SP employees who possess either institutional or industry knowledge of the workings of P&SP are not part of the decision-making process. P&SP does not communicate its policies, procedures, and requirements clearly in its employee manual.

Consequences
Without a clear and effective system for communication:

- Policies, procedures, standards, and decisions will not reach everyone, creating disparity among the divisions, offices, and units
- Polices and procedures may be misinterpreted
- Incorrect decisions may be made due to incomplete or incorrect information
- Stakeholders may assume P&SP is not fulfilling its responsibilities
- Additional resources are expended to clarify issues, statement, policies, reports, etc.
- The same information will continue to be captured in databases and logs that do not reflect accurate information and that all employees are not aware of wasting time and resources
- Innovation is reduced and morale is lessened
- The P&SP employee knowledge base is not captured and thereby will be eliminated
- The current culture and climate will not change at P&SP, and the proper employee feedback will not reach managers and supervisors.

Assessing the Change Environment

This analysis was performed individually by team members, then combined to produce one team product for each problem. The finished SWOT analysis for training, innovation and communication can be found in Appendices 4, 5 and 6 respectively. Presented in a four quadrant format each SWOT analysis lists internal strengths and weaknesses on the top half and external opportunities and threats on the bottom half. The team viewed internal strengths as resources that could be used to alleviate weaknesses, exploit opportunities or deal with threats. Internal weaknesses identified areas within the agency for improvement. External opportunities represented un-harnessed ideas within the agencies grasp. External threats were given considerable attention as threats. Each analysis was viewed individually, then collectively for similarities.

Benchmarking

The research conducted in this portion of methodology provided alternative ideas to each situation and levels of success achieved with each. Not all researched information was benchmarked but did contribute to the teams knowledge base used to confirm relevant ideas. The benchmarking exercises were completed for

‘formal training’ (Appendix 7), ‘mentoring’ (Appendix 8), the ‘employee suggestion program’ and ‘capturing institutional knowledge’ (Appendix 9), and ‘evidentiary requirements evaluation panel’ (Appendix 10).

Interviews were the main source of benchmarking information. These interviews yielded an abundance of process information and in some cases physical examples were provided (e.g., mentoring programs, training matrices). Web based searches produced theoretical and some research based papers of specific practices. These were mainly used as support of individual steps used in the respective action plans.

Brainstorming Solutions

This portion of the methodology is where the team presented all ideas of solutions for consideration. The solutions elected by the team are represented by the following action plans. These solutions were in the process of being developed well before this formal stage in one form or another. Individual team members had theorized solutions that were validated or amended in the benchmarking process. Brainstormed solutions were voiced and polished in a process similar to that used for defining the issues. Additionally, solutions were qualified and designed to be specific, measurable, achievable, realistic, and time-bound. The completed exercises can be found in Appendix 4.

Action Plans

Training

Formal Training Program (Appendix 11)

Employees are one of the most important resources of any organization. An employee must be trained properly before they can be efficient and effective. Employees that are properly trained and informed are generally more productive and are more innovative in their activities and thoughts because they are more confident in their capabilities. Properly trained employees make better decisions, make less (costly) mistakes, take less managerial oversight and guidance, and represent P&SP in a better light than a poorly trained employee. Poorly trained employees will be a continual drain on the agency’s time and resources until they receive the needed training, learn enough to get by through inquiries and mistakes, or retire.

The action plan for the Formal Training Program (Appendix 11) lists an outline of 29 action steps that the team feels are necessary to train new and existing employees. These actions steps were mainly drawn from conversations with fellow employees, benchmarking research, and the team’s brainstorming and problem solving activities. The team gleaned key points from existing training

programs within the federal government such as APHIS's "Pathway to the Future" Department of Energy, OIG "Professional Development Training Program Guide" (Appendix 7), AMS, and from entities outside the government such as CNH's "Engineer Development Program 2005", TXU Power, Chili's restaurant, and Lancaster Laboratories.

Mentoring (Appendix 12)
Currently within in P&SP there is no formal mentoring program. Upon review of this current situation it is was determined that when a new person comes on board the best way to introduce them to P&SP's environment would be to couple them with a trained and knowledgeable employee. A mentor program is not only beneficial to a new employee, but it also brings issues to current employees that they may no longer be attuned to.

The mentoring program would need to be very selective of the mentors. There are certain skill sets that a mentor must possess which include: good written and oral communication; a strong work ethic; and a person who likes to work with people. A mentoring program would also give the agency an opportunity to identify and evaluate a new employee and their progress during that critical first year.

Innovation

Employee Suggestion Program (ESP)(Appendix 13)
The OAS Action Team found that employees feel on an overall basis they are not heard. They feel that their ideas and suggestions are not supported by management and this perception has become our reality. If employees feel that their thoughts, ideas and suggestions are objectively considered their trust in the organization is strengthened.

The agency currently has a GIPSA Idea Hotline. The OAS committee feels that a more structured format allowing employees to express their ideas and suggestions is warranted. The Innovation action plan is intended to establish a structured Employee Suggestion Program (ESP) for P&SP employees or GIPSA employees as a whole.

The ESP would incorporate many facets and ideologies of the GIPSA Idea Hotline while developing a structured format that rewards employees for innovative thinking. The new ESP would create a committee charged with the responsibility of critiquing the current GIPSA Idea Hotline and creating a procedure that is standard among P&SP.

The committee will develop an application form and design criteria for eligible/non-eligible proposals. A timeframe that will be used to review, accept/reject suggestions, notify employees and implement each suggestion will

be established. The committee will also be tasked with designing an awards program that will be utilized to reward employee initiative. Finally, the ESP committee will develop and execute a device capable of ensuring that the ESP is functioning as intended.

The implementation of this program including action steps, resources, implementation timeframes, responsible parties, and key success indicators is outlined in Appendix 13.

Capturing Institutional Knowledge (CIK) (Appendix 14)
The Agency does not currently utilize knowledge management tools that capture and transfer institutional knowledge from departing employees to P&SP staff. Capturing this critical knowledge from retiring or separating employees could have an impact on new employees' effectiveness and productivity. The loss of this knowledge can also affect the Agency in providing continuity in regulatory matters.

Our proposed solution is to implement knowledge management tools to capture and transfer this information, which has been gained through years of experience and training, to P&SP staff. One tool is a knowledge retention interview designed to obtain valuable insight from employees who are retiring or separating from the Agency.

The Capturing Institutional Knowledge (CIK) process would differ from the current exit interview process employed by P&SP. Instead of inquiring about job satisfaction, such as would you recommend this job to friends or family, this process would focus on the employee's key tasks, job responsibilities, and other information relevant to the position.

Once an employee has informed their supervisor that they are retiring or separating from the Agency, the CIK process begins. The supervisor of the departing employee selects an employee or co-worker who is very familiar with the job duties of the departing employee's position. This person would then develop questions for the CIK. The interview would be conducted using audio or video equipment to capture the actual words and thoughts of the departing employee.

A presentation would then be developed based on the information gathered during the CIK. This would be reviewed by the departing employee to confirm the information captured and by the supervisor for editing as needed. The final presentation could then be posted on a shared network drive for easy access by P&SP staff, such as new hires or other Agency employees.

Communication

Evidentiary Requirements Evaluation Panel (Appendix 15)
The nature of regulatory activity is dynamic. Interpretations of the Act and regulations promulgated there under may change as decisions are issued by administrative law judges and the federal courts or additional guidance from the Office of General Counsel (OGC) is received. Consequently, different evidentiary requirements than what currently exist may become necessary for future case development. P&SP does not have a uniform procedure to communicate new information regarding evidentiary requirements and case development to its employees. Instead the information is communicated to an individual employee, office, or unit and is then further communicated informally from one employee to another, which may result in inconsistent case development and misinterpretation of evidentiary requirements. Therefore, the OAS Action Team has developed a plan for the implementation of an evidentiary requirements evaluation panel (Appendix 15).

The evidentiary requirements evaluation panel would obtain information about relevant judicial decisions and OGC instructions from legal specialists. The panel would evaluate the effects of this information on future P&SP case development or practices, memorialize any new or additional requirements in writing, and uniformly distribute the new information to employees. This process would ensure that all employees are aware of any new evidentiary requirements and provide clear guidance thereby reducing delays in the development of formal case files.

Conclusion

These action plans address the over arching dimensions of Innovation and Use of Resources with increasing efficiency, consistency, bolstering confidence and clarifying communication. These plans are a start to the continued improvement process that P&SP has embarked on. Logical continued steps for implementation are generally outlined in the action plans. We look forward to their consideration and your decisions after the November 14, 2006 meeting.

Appendix

Defining the Issue

Defining the Issue: Training

Employees are the most important resource of any organization. The Packers and Stockyards Program (P&SP) must have properly trained employees to be efficient and effective. Employees that are properly trained and informed are more productive and are more innovative in their activities and thoughts because they are more confident in their capabilities and therefore are a better resource for the agency.

Current Conditions:

Procedural and investigative training is a low priority in budgetary and human resource allocation decisions.

There is no formal training or mentoring program in place that assists in the development of employees, assesses training needs, sets training objectives, evaluates training, and modifies the training program based on evaluation. Generally, the current performance appraisal and IDP process are not being used to assess training needs. For example, in-office new employee training typically consists of reading the Packers and Stockyards Act (Act), regulations, and the employee manual on an individual basis. New employees are expected to learn procedures and policies by informally asking more experienced staff as issues arise, and answers usually vary widely. Additionally, new employees are typically assigned to travel with experienced employees to train on a particular type of investigation. Because of Agency's emphasis on investigation numbers, trainees are often assigned menial tasks during field visits, such as copying, that speed up the fieldwork but do not offer a meaningful training experience. After one or two trips the new employee is considered a competent investigator. In reality, these initially mentored investigations cover a small fraction of the issues typically encountered during a routine investigation. Consequently, new employees inevitably encounter situations they were never trained to handle. This problem is prevalent throughout P&SP.

A lack of standardized investigative/operational procedures is a major element limiting the effectiveness of P&SP's training goals. P&SP lacks minimum standards of investigative thresholds of evidentiary requirements, verbal/written communicative interaction, investigative reports and investigative review of reports. Operating procedures are not uniform between all levels of the agency (field, regional offices and headquarters). Operational procedures encompass how information is handled and stored, the efficiency of official letter and correspondence from registered entities (field, regional office and headquarters). Overall employees lack an understanding of P&SP work flow process.

Formal training events that convene staff from the regional offices are rare. When these events occur, their effectiveness is limited because the specific policies covered in the training are not yet finalized by the responsible parties. These training events lead to disagreement among regional offices regarding investigative methods. These disagreements remain unresolved, resulting in inconsistent methods of conducting

regulatory reviews and investigations between regional offices.

Desired Conditions:

P&SP would have a formal training and mentoring program that assesses training needs, sets training objectives, evaluates training, and modifies the training program based on evaluation (headquarters and field). The training program would also provide the necessary knowledge and skills to employees (new and existing) in an efficient, structured, and uniform manner. Training program should include investigative training (FLETC), administrative training, mentoring, and continued training as needed (possibly through IDPs). This structured training program should incorporates both office and field work.

An employee would have a person (i.e., mentor) to help them transition into their new, desired, or existing role. The mentor would pass on institutional and procedural knowledge as well as being a sounding board to the employee. Employees assigned to train or mentor would be effective teachers and not just good at their jobs.

Procedures would be in place to implement new training due to changes in technology, the industry, or the agency. Policy decisions would be made in a timely fashion before any training related to unresolved policies is conducted. Clear standards would be established. Supervisors would address training issues as they arise by working with the employee and training coordinator to handle the issue.

Problem:

Financial and human resources are not sufficiently allocated to train P&SP's employees properly. The lack of consistent standards for investigations and operations makes uniform training of employees difficult. Agency focuses on training employees quickly to get them into the field. As a result, the quantity of investigations is attained but quality is compromised. The specialties and proficiencies of current employees are not harnessed to provide training within the agency. Training is not organized and planned in incremental steps of difficulty. Policy training preempts final decisions made concerning the nature of a policy reducing the validity of training and results in a waste of resources.

Consequences:

Without a structured training program:

- employees will continue to become discouraged and potentially fail at achieving P&SP's goals
- P&SP may lose its credibility as an expert in its field
- conflicting information may be disseminated to the stakeholders
- inefficient use of human and financial resources will continue to be perpetuated by having to continually train new staff.
- enforcement of the Act will continue to be inconsistent
- employees may not trust management due to frustration about meeting

performance levels without proper and consistent guidance

- management may not trust employees due to varying levels of performance
- employee turn over rate will remain high
- employees will be less innovative
- P&SP will continue to focus on short term needs instead of long term benefits.

Defining the Issue: Innovation

Process and product innovation will sustain the Packers and Stockyards Program (P&SP) as a viable regulatory agency in the changing livestock industry. P&SP must redefine its culture to be an innovative agency to solve the issues in the regulated livestock industry and from within the industry. However, a culture on its own will not be successful if the appropriate infrastructure that sustains innovative ideas is not in place.

Current Conditions:
Typically decisions on policies, issues, and interpretation of the Packers and Stockyards Act (Act) are made without the input of experienced personnel. Employees at all levels are unwilling to respond decisively to questions fielded directly from the industry fearing their decisions or interpretations will not be supported by management. Employees and supervisors defer questions regarding even minor issues to the next level. Employees are not given the latitude to adjust the investigative process or boundaries (limits) in response to situational knowledge or events that may arise in the course of an investigation. A lengthy "Red Tape" approval process is used when new monitoring and surveillance methods or programs are proposed to identify potential violations of the Act. Processing formal case files takes too long which defeats the effectiveness of enforcement of the Act. Institutional knowledge is not captured from departing employees within Packers and Stockyards.
Desired Conditions:
P&SP would establish an agency culture where an employee's creative ideas are evaluated and, when appropriate, implemented to improve P&SP's regulation and monitoring of the livestock industry. P&SP would develop an environment where field decisions made by field employees are supported by management. P&SP would have an environment where employees are encouraged to conduct their duties without fear of being reprimanded. P&SP would implement knowledge management tools that will capture and transfer

institutional knowledge such as mentoring program, communities of practice, case studies and document management systems.
Problem:
Employees are not empowered to push the limits of their abilities, duties, and responsibilities nor are they encouraged to develop new and better ways of doing their jobs. P&SP does not have knowledge management tools that capture and transfer institutional knowledge from departing employees.
Consequences:
Without an environment of innovation: • There may be a loss of ideas that could contribute to the fulfillment of the P&SP's mission • If P&SP does not adopt a culture of innovation, P&SP may not be able to adapt to an ever changing industry • If the P&SP does not continually seek innovative ideas of doing business, the industry may perceive that P&SP is not responsive to their complaints and questions and is not aware of current industry trends • Employee morale may decrease; employee turnover may increase which may affect productivity and costs • Employees become overly cautious in their work doing the minimum required to maintain the status quo. • P&SP may lose credibility with the industry due to delay of enforcement of the Act. • Knowledge from departing employees may be lost which could have an impact on new employee's effectiveness and productivity. Loss of knowledge can affect the Agency in providing continuity in regulatory matters.

Defining the Issue: Communication

Communication to facilitate the cross utilization of employees at all levels is a fundamental necessity to the health, growth, and success of any organization. Employees and managers that are well-informed and timely briefed on the agency's current policies, procedures, activities, responsibilities, and expectations are more confident and uniform in their decisions and are more capable and willing to contribute innovative ideas.

Current Conditions:

Information regarding standards, cases, and policy requirements are communicated in fragments to an individual, office, or unit and is not equally disseminated to Packers and Stockyards Program (P&SP) employees. P&SP employees need to know why decisions were made on policy issues that affect the whole program.

Policies and program decision are often made and implemented without participation of P&SP employees who possess industry and institutional knowledge of the issues. Employees are not offered opportunities to provide input in policy and procedural decisions.

Shared databases and logs are not updated, and many employees are not even aware of the databases and logs. When information is needed, there is a mad scramble within the program that takes employees away from other in-progress projects.

Requests for information between the regional offices and headquarters are not always handled in a timely manner. These requests, at times, require a quick turn around that is not always communicated in a clear, concise manner which inhibit other's work.

The employee manual is not a useful tool for all P&SP employees because it does not adequately communicate P&SP's policies, procedures, and requirements.

Desired Conditions:

P&SP would develop a communication system that is timely, complete, and distributes uniform information to employees in order for them to do their jobs effectively and efficiently.

P&SP would to allow employees to offer input into policy procedural, and program decisions.

P&SP would have reporting requirements in place with clear deadlines that would be communicated to employees in a timely manner.

P&SP would ask for feedback from knowledgeable personnel prior to issuing a new

decision, policy, reporting requirement, or employee manual.

P&SP would maintain logs and databases and would ensure that all employees would have knowledge of their content and function within P&SP

P&SP would have an employee manual in place that would be updated on an as-need-be basis. The employee manual would communicate P&SP's policies, procedures, and requirements clearly and concisely.

Problem:

P&SP does not effectively ensure that the policies and procedures within P&SP are uniformly and accurately communicated throughout P&SP. P&SP employees who possess either institutional or industry knowledge of the workings of P&SP are not part of the process to effectively communicate procedures throughout the program. P&SP does not communicate its policies, procedures, and requirements clearly in its employee manual.

Consequences:

Without a clear and effective system for communication:

- Policies, procedures, standards, and decisions will not reach everyone, creating disparity among the divisions, offices, and units
- Polices and procedures may be misinterpreted
- Incorrect decisions may be made due to incomplete or incorrect information
- Stakeholders may assume P&SP is not fulfilling its responsibilities
- Additional resources are expended to clarify issues, statement, policies, reports, etc.
- The same information will continue to be captured in databases and logs that do not reflect accurate information and that all employees are not aware of wasting time and resources
- Innovation is reduced and morale is lessened
- The P&SP employee knowledge base is not captured and thereby will be eliminated
- The current culture and climate will not change at P&SP, and the proper employee feedback will not reach managers and supervisors.

SWOT Analysis

SWOT Analysis: Training

Strengths	***Weaknesses***
• Educated, knowledgeable, and experienced work force willing to learn • Qualified staff able to train new employees • Access to modern training techniques such as Ag Learn, FLETC, Universities capable of training and explaining current industry norms/standards • Management supports and implements change initiatives • Supervisors currently are required to take OPM leadership courses • On Job Training (OJT) available such as conducting investigations with senior investigators, co-location for similar job functions, and shadowing • GIPSA maintains an internal Training Office that is aware of current training methods and provides support for that training	• Previous lack of management support to create a strong training culture • Current culture might resist structured training, preferring the way it has always been conducted • Lack of a specific curriculum designed for new and established personnel • Lack of a formal and standardized training program • Lack of identifiable courses related to current duties • No established mentoring program for new employees • Lack of support in refining industry knowledge • Agency does not have standard operating procedures and therefore is not able to effectively train • Employees' requests for training have often gone unfulfilled • Budget constraints (prioritizing/allocation). Employee's requests for training have been turned down for apparent lack of training funds. Training funds are turned back at the end of the fiscal year (2005). • Cost (time & money) of designing in house training programs • Attrition, loss of knowledge • Need to work as one program
Opportunities	***Threats***
• Many training facilities available at universities • On the ground floor of change	• 2007 appropriated budget may not provide enough funds for new training program

• Use Office of Inspector General to drive change in the agency's training culture. It created an urgency to assess the Agency and create positive solutions to perceived problems • Use OPM's Organizational Assessment Survey (OAS) to drive request for additional funds (2007) • Use OPM OAS survey to drive change in the agency's training culture • Effective IT development provides a better opportunity for training	

SWOT Analysis: Innovation

Strengths	***Weaknesses***
• Well educated and experienced work force (industry knowledge) • Dedicated employees • IT capabilities and staff available • New employees with new ideas • Suggestion Hotline - easily accessible and allows for expression of new ideas • Confidential Hotline to Administrator • Verbal and written support of empowerment given to employees	• Lack of fully staffed positions • Lack of support from management for new ideas, or new ways to accomplish tasks • Lack of support from fellow workers when new ideas or methods are devised • Red tape • Employee empowerment – employees are not empowered to think on their own and come up with innovative ideas • An entrenched agency culture that has a top-down approach to new ideas • Employees may become apathetic towards inventing or endorsing new ideas • Lack of effort to manage (capture for current and future use) the data base of knowledge amongst the current staff • Managers inconsistently support Mr. Link's empowerment to employees (employees continue to be reprimanded when their ideas and thoughts are perceived to be a threat to management) • P&SP doesn't work as an integrated program • Lack of funding (budget) • Loss of institutional and industry knowledge (attrition)
Opportunities	***Threats***
• Learn from state and industry organizations • Benchmarking (Federal agencies and corporate structures) • Industry developments (animal id's, BSE requirements, bird	• A-76 (creates complacency, fear, etc.) • Resistance from OGC – OGC creates a culture where investigations and documentation requirements become too

flu, etc.) • New IT developments • Use OIG investigation to drive innovation – The OIG report may create a culture that does not stifle new ideas	tightly structured • Resistance from industry. Many stakeholders are accustomed to doing business as usual • Resistance from Congress – Changes in the current law may need to be revisited and promptly changed • Appropriated budget constraints • Some industry participants do not view P&SP as an authority figure on livestock issues

SWOT Analysis: Communication

Strengths	***Weaknesses***
• Educated and experienced work force • IT Dept. capable of disseminating info. quickly & effectively via net meeting, VTC, etc. • Computers are on every desk top – e-mail, outlook, etc. • Cell phones are on most employees and on every investigator • Staff is eager to learn and accept info. • Field employees (RAs) have direct contact with registrants (communicate industry needs) • Notes from mgmt. conference call are now distributed to everyone • Monthly unit staff meetings are being held • Periodic regional staff meeting to update employees • Create bonds with other employees (employees discuss relevant issues and seek guidance from each other) • Benchmarking – best practices	• Filtering of information • Misinformation (use of informal communication system distorts original message as it passes from person to person or office to office) • Info. is misinterpreted or not fully explained throughout all levels of P&SP • Not all employees are aware/trained on new technologies • New technologies are not fully utilized which include: NetMeeting, no PDAs, Wireless Communication • Lack of adequate checks and balances within Agency to insure that policies and procedures are understood and correctly acted upon • Geographically dispersed regional offices • Response to policy questions are not uniform and timely • No uniform method to collect and disseminate data • Current IT and in-house databases and logs fails to capture data needed by D.C. • Staff meetings are frequently ineffective because communication, policies, and follow through procedures policies are not in place • Lack of structured process to communicate information throughout P&SP • Inadequate communication with OGC (information isn't filtering down to the field offices and investigators are currently not talking directly to attorneys). • Failure to timely communicate manageable deadlines (i.e.,

	routine and known deadlines) • Budget constraints • Institutional knowledge is not being gleaned from employees prior to them leaving (retiring, other employment) • Need to work as one program
Opportunities	***Threats***
• Use OIG investigation of P&SP to solidify communication requirements. • Use OPM's 2005 OAS survey to drive change in the agency's communication policies. • New IT development in communications (notebooks, character recognition of notes, transmission of notes, etc.) • Multiple geographic locations; a better opportunity for two way communication with the industry • Benchmarking – best practices	• Appropriated budget constraints • OGC fails to clearly communicate case requirements (formatting, evidence, etc.)

Benchmarking

Benchmarking: Formal Training Program

Issue: ***Lack of Formal Training Program***
Methodology: Interviews (E-mail, Telephone, Internet)

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
1) No standardized training procedure	West Texas power company that developed a formal training rotation for cross training of new technicians. Key highlights are as follows: • New technicians rotate positions with existing technicians for two week intervals. Division Supervisor met with training officer. • Training officer created and implemented the two week program. • Existing technicians became the trainers.	Employees perform their jobs with greater effectiveness and efficiency.	Numerical calculation (Power outage turnaround time decreased by 15 %.)	Division Supervisor at TXU Power, North Texas Region

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
2) No standardized training procedure	Meat Grading and Certification Branch developed testing mechanism to ensure that employees can apply USDA grade standard uniformly. Key highlights are as follows: • Exam given to employees to confirm knowledge of subject matter. • Created to have graders apply grading standards uniformly.	Consistency in quality and yield grades.	Percentage decrease in Grading error.	AMS, Meat Grading and Certification Branch
3) No standardized training procedure	Pennsylvania Laboratory firm established training and testing program to ensure employees have adequate knowledge of administrative and ethics requirements. Key highlights are as follows: • Training on how to	Employee is aware of administrative procedures.	Employee must pass a test over the knowledge of administrative procedures.	Lancaster Laboratories

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	complete administrative documents. • Training officer worked with the Ethics committee to create a manual of all administrative forms. • Training officer trains each new employee on all documents for a week.			
4) No formal training requirements	In 2004 DOE created a training matrix detailing the required curriculum needed for each grade. The matrix was designed to ensure that auditors had the required competencies, integrity, objectivity, and independence when planning, investigating and reporting their findings.	Employees are trained on the technical aspects of the job and remain current as new technologies develop. Employee are currently using matrix and it appears to be working well.	Requested, but none provided	DOE OIG

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
	Key highlights are as follows: • Matrix of classes developed • Action Team established • Goals created for the program • Applicable classes identified or created to enhance employees' skills to achieve program goals • Matrix of classes developed to include beginning, intermediate, and advanced classes • Appointed a dedicated training officer • Employees choose classes from matrix each year to attend			

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
5) No formal training and development guide	Management team established goals and strategies (Set agency direction). Developed a comprehensive training guide which states training curriculums by grade. Key highlights are as follows: • Interviewing of employees (feedback) • Development of workgroups • Workgroups create action plan for achieving goals (i.e. enhance or improve employee training and development) • Workgroups create necessary training components and related documents (training matrix, evaluations forms, checklists, etc.)	Very effective during the first few years after implementation. Program became less effective as the agency's focus shifted to other issues and supervisors failed to implement the program. Lack of accountability was a program flaw.	Required checklist items completed. Employee should be able to work independently (minimal guidance) at their grade level, and require minimal supervision.	APHIS, USDA

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	• Establishment of components (new employee and mentor program) Note: third component addressing career development added later <u>Component #1 – New Employee</u> Established steps relating to preparation and training of new employee Develop checklist forms to be completed for each stag of new employee preparation and training (administrative and basic skills) Developed evaluation sheet that is completed by supervisor and new employee	To provide guidance		

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	Component #2 – Mentoring (See Mentoring Benchmarking) Component #3 – Career Development Develop "Self Assessment Guide" that helps employee assess competency strengths and weaknesses. Guide has three assessment tools. Tool #1: Career Development Chart- summarizes current work experience and strengths and will show areas that need development Tool #2: Investigator Competency Checklist - checklist of the steps/activities/components of a successful investigation process) Tool #3: Investigator	and assistance to existing employees' career development		

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
	Knowledge and Skill – Listing, by grade level of the knowledge and skill required at a particular grade.			
6) No formal training and development guide	Major farm implament company created an Employee Development Program (EDP). Program identifies training requirements and ensures proper training of new engineers. Key highlights are as follows: • Creation of formal mentor program (See Mentoring Benchmarking) • Creation of an employee assessment program entitled "Performance Management	No program outcomes were available due to the fact that the program was recently implemented	Previous programs failed. Company is just hoping the new program will succeed in developing new engineers. Company plans on doing employee surveys to gauge the success of program.	CNH (Case New Holland)

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	System” • EDP consists of program description, training assignment, target profiles (competency matrix), evaluation, assessment, rewards/promotion criteria, timetable for activities, and list of possible on-the-job training by technical competency. • Establishment on the ‘Roles and Responsibilities” of participants (employee, manager, mentor, human resource department …etc)			
7) No formal training and development guide	Large restaurant chain develop training program for management and employees that will ensure efficient and consisted	Consistency between store locations in the areas of product, service and management is at a	Customers are asked to rate service and management online and are given a free dessert upon	Brinker International Inc. (Chili’s Grill and Bar, On the Border restaurants etc.)

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	customer service. Key highlights are as follows: • Developed a detailed and comprehensive training program • Program is divided into four sections (Culinary, People, Service and Total Restaurant awareness) • Each section begins stating and defining the competencies to be mastered in each section. The competencies build on themselves and are taught in units called Skill Proficiencies. Competent behaviors are defined and when each is demonstrated the supervising	high uniform level. Continued customer growth in existing locations and	completion. Random customers are solicited to dine for free provided they fill out a detailed evaluation of the dinning experience.	

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
	manager signs and dates each. • The training is completed in three months.			

AUDITOR TRAINING CURRICULUM

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Mandatory Training									
Sexual Harassment – biennial	X	X	X	X	X	X			
EEO/Diversity – annual by 9/30	X	X	X	X	X	X			
Security Awareness – annual by 9/30	X	X	X	X	X	X			
Ethics – annual by 12/31	X	X	X	X	X	X			
Initial Security Awareness Briefing	X	X	X	X	X	X			
Annual Refresher Security Briefing	X	X	X	X	X	X			
Comprehensive Security Briefing	Provided to persons with access to classified information or special nuclear materials								
Classified Matter Protection and Control	As required, includes HQ Security Officers (HSO)								
Repository Custodian and Classified Matter User								Training is for both Control Station personnel and Repository Custodian and Classified Matter Users. The training will cover the generation, marketing; physical protection and storage; reproduction; accountability; transmission (including hand-carry); destruction; and emergency procedures.	No Cost 4 to 8 Hours

Note: Each auditor is required to maintain copies of training certificates as proof of course completion.

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Core Training – Required									
Introduction to Auditing	X						**Planning, Data Gathering, Data Analysis, Written Communication, Oral Communication** Objectives are to understand the importance of internal controls, purpose and major steps of conducting interviews, applying Government Auditing Standards, understanding the concept of audit planning and auditing-by-objective, identifying different types of evidence and understanding the importance of assessing data reliability, preparing audit documentation, developing audit findings, understanding the audit phases and importance of ethical behavior and professional conduct.	This course is an introduction to the basic concepts needed as an entry-level auditor to perform effective audits within the Federal audit community. The course gives a chronological overview of the entire audit process and stresses a team concept in performing audits based upon Government Auditing Standards. Instruction includes participating in team exercises, lectures, role-playing, videotaping, class discussions and individual exercises.	Vendor (IGATI, Arlington, **VA)** **$1,650** **80 CPE Hours**
Orientation to Office of Inspector General/Overview of Program Operations (NNSA, Science, EM, etc.)	X						Written Communication To understand the missions and activities of the Department and its programs. To gain an understanding of the deductive method of writing.	This course will describe the missions, activities, and organizational structure of the Department and its programs. The use of M&O contractors will be presented. Participants will be introduced to the deductive method of writing and wil complete writing exercises.	Meet and greet with OIG management Presented by program officials and OIG trainer, DC/Germantown, No Cost, 32 CPE hours
TeamMate	X						**Planning, Data Gathering, Data Analysis, Written Communication** Objective: learn the process of setting up new audits, designing steps, answering audit steps, scanning documents into TeamMate, signing off audit steps, creating and restoring backups, & creating & merging replicas.	This course is an introduction to TeamMate software. Attendees will complete training exercise walk-through, learn protocol, complete practice exercises including tips and tricks and complete hands on exercises	In-House at Site Offices No Cost 8 CPE Hours

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Understanding Audit Evidence & Workpapers	X						**Planning, Data Gathering, Data Analysis, Written Communication** Objectives are to learn the process to ensure that findings and recommendations are supported by sufficient, relevant and competent evidence documented in working papers, understand the types of evidence and the tests that evidence must meet, learn methods for collecting and documenting types of evidence needed to support your reports and to meet professional standards and how your audit objectives and design strategy affect the data needs.	Participants will learn to identify and apply the government auditing standards that pertain to audit evidence and documentation, describe the types, tests and sources of evidence, how evidence is collected, and how it can be documented, apply appropriate methods in collecting and recording evidence to assure the competence of the evidence, design an audit to identify and obtain sufficient, relevant evidence that will satisfy the audit's objectives using a step-by-step process and a matrix to document the design, describe the purpose, types and forms, basic principles and information elements of audit documentation, explain reasons and demonstrate methods for indexing, safeguarding, and cross-referencing audit documentation, and describe responsibilities for supervisory review of audit documentation and the benefits of referencing the audit report to the documentation.	In-House No Cost 16 CPE Hours
Performance Auditing (**Includes** fraud auditing)		X					**Planning, Data Gathering, Data Analysis, Written Communication** Objectives are to learn the relationships of measures to outcomes and controls to processes, and the prerequisites for good controls in complying with laws and regulations, safeguarding assets and efficiently delivering quality goods and services that meet customer needs and achieve program goals. Case studies illustrate a step-by-step process for selecting the evidence and analysis to achieve the objectives and develop findings that answer the objectives.	Participants will learn to describe the phases of a performance audit and the end product of each phase, apply techniques for conducting the survey phase, employ two performance auditing approaches, apply a step-by-step process in planning to achieve an audit's objectives and document the plans, apply alternative methods for collecting, documenting and assuring the competence of different types of evidence and demonstrate a working knowledge of finding development and performance audit reporting.	Vendor (Graduate School, USDA, various locations) $545 24 CPE Hours (Possible - In-House)

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Listening Skills and Interviewing Techniques	X						**Oral Communication** To obtain the skills necessary for effectively communicating with the auditee and eliciting pertinent information for an audit.	This course will provide the necessary instruction to achieve success while interviewing, listening. Instruction will include mock interviews and write-ups of those interviews.	In-House, Multiple Locations No Cost 32 CPE Hours
Oral Presentations		X					**ORAL COMMUNICATION** To obtain advanced skills in presenting audit findings to management. Auditors will be expected to make a presentation on a current audit.	This course will focus on diagnosing an audience's needs and designing a presentation that will meet those needs. Participants' presentations will be video taped and critiqued.	In-House, Multiple Locations No Cost 32 CPE Hours
Briefings			x				**ORAL COMMUNICATIONS** To obtain highly developed presentation skills needed to present findings to senior Doe Managers and members of Congress	This course will provide the opportunity to give mock presentations and to participate in a question and answer period.	Vendor $675 24 CPE Hours
Intermediate Writing & Critical Thinking		X					**Written Communication** To enhance the ability to write clearly and concisely. When appropriate this course may be combined with Understanding Audit Evidence or with AIC training.	This course will review the principles of good writing as applied to workpapers, profiles, and end-of-surveys.	In-House, Multiple Locations No Cost 24 CPE Hours
Performance Measures			X				**Data Gathering, Data Analysis** To determine how performance measures should be developed and results evaluated.	The objective of this course will be achieved through classroom instruction. The characteristics of effective performance measure development will be presented, as well as methods for evaluating the results.	Vendor (USDA, Multiple Locations) $625 24 CPE Hours (Possible In-House)

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
AIC Training			X				**All Elements** To effectively manage an audit from profile to final report.	This course will provide instruction on the activities and methods necessary to effectively manage an audit. Instruction will include a case-study approach to auditing. It will also provide basic review techniques for workpapers.	In-House supplemented with a Vendor (Consultant (IIA), Multiple Locations) Cost TBD 32 CPE Hours
Report Writing			X				**Written Communication** To identify and apply effective techniques for writing audit reports.	Participants will use material such as profiles, end-of-surveys, and workpapers to write a draft report.	In-House, Multiple Locations No Cost 24 CPE Hours
Indexing & Referencing			X				**Written Communication** To learn effective techniques for indexing and referencing to ensure quality, factual reports.	Participants will learn how to index and reference draft audit reports. Case studies and hands-on exercises will be utilized.	In-House, Multiple Locations No Cost 8 CPE Hours
ACL (to be offered within five years of promotion to GS-13)				X			**Data Gathering & Analysis** To identify uses of CAATs during an audit and utilize ACL in gathering and analyzing data to satisfy audit objectives.	The first day of this course will focus on potential uses of CAATs while conducting an audit. The remaining three days will focus on key ACL data analysis concepts and functionality. Participants will learn how to access data, use commands, build expressions to detect exceptions, and report findings.	In-House with Vendor, Multiple Locations Cost TBD 32 CPE Hours
Changing Dimensions of DOE			X					Reviews and discusses topics such managing for results, quality focus, environmental priorities, organizational initiatives, laboratory relationships.	In-House Department of Energy Professional Skills & Technical Training Program (Training Program) No Cost 32 CPE Hours
Pre-Project Planning/Project Alignment			X					Teaches skills essentials for planning projects under DOE ORDER 413.3	In-House Department of Energy Training Program No Cost 24 CPE Hours

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Project Management (to be offered within five years of promotion to GS-13)				X			**Planning; Data Analysis; Data Analysis** This course was designed to introduce participants to DOE's Project Management system and processes in order to improve their performance as members of the project management team.	The course teaches: 1) The essential principles and concepts of the discipline of project management as it applies to the work and the culture of DOE. 2) How to identify DOE's project management system and processes; 3) How to understand their performance requirements in the functional area in which they respond and interact with DOE's project manager, staff and contractors.	Vendor (Colleague Consulting LLC) various locations Cost TBD 24 CPE Hours
Contract Administration for Technical Representatives – Non-M&O and M&O Sessions			X					Topics include: authorities and responsibilities, understanding the contract, contract planning, modifying contracts.	In-House Department of Energy Training Program Non-M&O Session $300 24 CPE Hours M&O Session No Cost 24 CPE Hours
Life Cycle Cost Estimating				X				Topics include: applying various techniques and formulae to construct a life cycle cost estimate analysis.	In-House Department of Energy Training Program $200 16 CPE Hours
GPRA Performance Management			X	X				Provides an overview of DOE's and the Government Performance and Results Act (GPRA) requirements. The course will discuss how the Department is implementing this act. The second day of the course will focus on a "hands-on" development of actual performance measures for specific programs.	In-House Department of Energy training Program No Cost 16 CPE Hours

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Leadership (First course to be offered within three years of promotion to GS13; supplemental course offered every 5 years)				X			**Oral Communication, Working Relationships** This course was teaches participants how to: 1) Gain further understanding of audit leader responsibilities; 2) Create and maintain efficient, effective, and motivated teams of auditors; 3) Maximize audit team performance by understanding human behavior and focusing on the needs of the individual and the team. In addition, it teaches how to: Improve your ability to communicate with the audit team and your customers and strengthen your techniques for managing the performance of the audit team.	Participants will learn how to develop staff in the day to day completion of audits	Vendor (Colleague Consulting LLC OR Institute of Internal Auditors), various locations $8,112, maximum of 25 participants per class 21 CPE Hours
Reviewing the Writing of Others (First course offered within one year of promotion to GS13; supplemental course offered every 3 years)				X	X		**Oral and Written Communication** Participants will learn how to critique reports and other written products and **to** provide appropriate and effective feedback to staff.	Participants will review sample workpapers, objectives, profiles, end-of-surveys and sections of reports in order to construct and provide effective feedback to staff.	In-house No Cost 24 CPE Hours
Team Leader Training (to be offered within three years of promotion to GS-14)					X		**Written Communication, Oral Communication, Working Relationships** Time management, motivating employees, critiquing others, personnel conflict, evaluating employee performance, assessing one's own supervisory skills	The course is designed to help managers and team leaders develop and sharpen the attributes needed for success. The course format includes self-assessments, case studies, practical exercises, facilitator presentations, skill practices, and application planning.	Vendor (Management Concepts, Washington DC) $575 24 CPE Hours

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Situational Leadership (to be offered within three years of promotion to GS-14)					X		**Written Communication, Oral Communication, Working Relationships** The objectives are for managers to acquire knowledge of how to: apply a variety of leadership theories and models; identify important qualities and behaviors of effective leaders; apply strategies for enhancing relationships; develop a unit vision.	The course is designed to help managers and team leaders develop and sharpen the attributes needed for success. The course format includes self-assessments, case studies, practical exercises, facilitator presentations, skill practices, and application planning.	Vendor (Management Concepts, Washington DC) $575 24 CPE Hours
Performance Auditing: A Benchmarking Approach (to be offered within five years of promotion to GS-14)					X		**Planning, Data Gathering, Data Analysis, Written Communication** To determine when and how to use benchmarks when conducting a performance audit.	This course will provide details on the benefits of benchmarking during performance audits. Techniques will also be provided demonstrating when to use benchmarks and how to ensure their effectiveness.	Vendor (USDA) multiple locations Cost TBD 16 CPE Hours
Advanced Project Management (to be offered within five years of promotion to GS-14)					X		**Planning, Data Gathering, Data Analysis** To understand advanced project management practices that are, or can be employed by the Department.	This follow-up course will provide advanced project management practices, including value engineering, project tracking and change controls, among other topics.	Vendor (Colleague Consulting LLC) various locations $8,112 per class, maximum of 25 participants per class 21 CPE Hours
Breaking the Code				X				Topics include discussion areas such as: the DOE strategic management system; phases of DOE project management life cycle; major steps in planning, executing, and successfully completing projects.	In-House Department of Energy Training Program $300 24 CPE Hours
Doe Program Execution, Control, and Evaluation					X			Provides an in-depth look at the key issues involved in managing a program at DOE. Emphasis is placed on understanding work authorizations, DOE reporting and control mechanisms, and evaluation of contractor performance and performance measures	In-House Department of Energy Training Program $400 32 CPE Hours

Course	GS Grade						Critical Elements/ Learning Objectives	Course Description/ Developmental Activities	Potential Source of Course, Location, Cost & Length
	7/9	11	12	13	14	15			
Seminar for New Managers: Leading People (to be taken within the first two years at GS14 level)					X		**Written Communication, Oral Communication, Working Relationships** The objectives are for new managers to learn the essential skills necessary for successful transition from first line supervision into management. It is also appropriate for more experienced managers who have not yet had the opportunity for formal development of these skills. Participants will acquire new skills to use in accomplishing work through peers and subordinates; develop an enhanced sense of how to adapt leadership styles to diverse groups; understand better the flexibilities available in managing human resources; gain increased commitment and understanding of the leadership role; and, learn the role emotional intelligence plays in managerial effectiveness.	The seminar uses tested methods to diagnose participants' preferred leadership styles and their appropriate use. Each participant also develops skills in conflict resolution, human resources management, leveraging diversity, emotional intelligence, problem solving, and communication. The course format uses scenarios, case studies, role-plays, group exercises, and other adult learning methods. Current information on leadership theory and practice is applied to participants' real organizational problems.	Vendor (Federal Executive Institute and Management Development Center, Eastern Management Development Center – Shepherdstown, WV and Western Management Development Center – Denver, CO) $3,900 45 CPE Hours

Benchmarking: Mentoring Program

Issue: ***Lack of Formal Mentoring Program***
Methodology: Interviews (E-mail, Telephone), Research of existing programs

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
1) No Mentoring Program to assist new employees	Meat Grading and Certification Branch developed mentoring program to assist employees in developing their grading skill. Key highlights are as follows: • Mentor is working alongside new employee for 4 months • Mentor is chosen on a volunteer basis. • Compensation is given to mentors. • Evaluations are given throughout the mentoring process.	Grader (Trainee and Mentor) have a working knowledge, confidence and fosters morale.	Trainee must pass all quizzes and tests with an 80% score.	AMS, Meat Grading and Certification Branch

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
2) No Mentoring Program to assist new employees	Pennsylvania Laboratory firm mentoring program to ensure employees have adequate knowledge of administrative and ethics requirements. Key highlights are as follows: • Knowledgeable mentor is assigned to employee by supervisor • Employees have access to a mentor to answer questions. • Mentor provides advice and guidance to new employee	Noticeable improvement by new employees when completing administrative tasks.	Employees correctly accomplish administrative tasks 100% of the time.	Lancaster Laboratories
3) No Mentoring Program to assist new employees	Management team established goals and strategies (Set agency direction). Developed a mentoring to assist and guide employee in training and career development. Key highlights are as follows:	Very effective during the first few years after implementation. Program became less effective as the agency's focus shifted to other issues and	Required checklist items completed. No evaluation process included in program. Lack of evaluation process was a design flaw	APHIS, USDA

Area of Challenge	*Benchmark Practice/ Best Practice*	*Outcome*	*Success Indicator*	*Source*
	• Interviewing of employees (feedback) • Development of workgroups • Workgroups create action plan for achieving goals (i.e. enhance or improve employee training and development) • Establishment of components (new employee and mentor program) Note: third component addressing career development added later **Mentor Program:** Workgroup develops the Introduction and program review checklists • Mentor and new	supervisors failed to implement the program. Lack of accountability was a program flaw.		

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	employee supervisor meet and go over employee's progress during new employee training stage. • Review employee evaluation • Mentor and new employee meet and discuss expectations, establish communication of each other and start building a relationship • Mentor and employee discuss the various APHIS programs and activities. • Mentor explains appropriate Federal and State programs, and Code of Federal Regulations. • New employee			

Area of Challenge	Benchmark Practice/ Best Practice	Outcome	Success Indicator	Source
	assists and observes Mentor in field investigations. • Mentor assists new employee through training process (facilitator). • Mentor and supervisor meet regularly to discuss employees progress • Development of formal training (FLETC, Temporary details, computer training…etc.)			
4) Establishing Mentoring Program that provides smoother integration of employee	Development of mentors responsibilities throughout training process • initial and interim review meetings • discuss target objective and goals • Provide feedback, advice, guidance to employee	No program outcomes were available due to the fact that the program was recently implemented	Previous programs failed. Company is just hoping the new program will succeed in developing new engineers. Company plans on doing employee surveys to gauge the success of program.	CNH (Case New Holland)

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
	• Provide updates on employee progress to management Development of mentor guidelines • Listing characteristics of a good mentor • Advise on how to be a good mentor on a professional and personal level Selection of appropriate mentor Assigning mentor to employee (first month)			
5) Mentoring Dimensions (desired qualities)	Key Points Defined: Trust, Advice, Alternatives, Challenge, Motivation, and Initiative	N/A	N/A	HumaNext http://www.newtrainingideas.com/becoming-a-mentor.html

Benchmarking: Capturing Institutional Knowledge and Employee Suggestion Program

Issue:	***Innovation: Capturing Institutional Knowledge & Employee Suggestion Program***
Methodology:	***Telephone interview/internet***

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
A. Institutional knowledge is not captured from experienced employees upon retirement/separation from agency	A. Implement knowledge management tools • Mentoring • Exit Interview Process	A. • Strong institutional knowledge exchange • Can take institutional knowledge and transform it into material form that can be used by others	A. Improves the overall efficiency and level of productivity in agency and shortens the learning curve of new staff joining the organization. New staff is educated quicker and more thoroughly because the experience and knowledge of employees leaving the agency is captured and retained for future use by all employees in the agency.	A. Environmental Protection Agency, Ohio State Government website

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
B. Ideas were not encouraged or rewarded	B. Employee suggestion program This program went into effect in 1980. This is a statutory program that was put into effect to encourage ideas and reward the ideas that are implemented so that employees would feel that they are being heard.	B. Interest ebbs and flows. They are in a slump now because of budget constraints. Next year they will have the extra money for rewards and will see it pick up then. Managers need to be reminded to push their employees for their ideas and suggestions. Many don't because it makes more work for them if and when they have to implement the suggestion	B. The program is tracked with a quarterly report that tracks the number of suggestion, number of suggestions adopted, and how many suggestions are waiting for review. The review committee is given 6 weeks to reject or accept the suggestion. Each quarter they try to reduce the number still waiting for review over the 6 week period and increase the number of new suggestions.	B. Human Resources Department, State of Oregon
C. Employees felt that their ideas were not	C. "Reliability-centered maintenance" –	C. Employees previously felt like firefighters,	C. Fewer problems, ex. Loss of power, down	C. Supervisor, TXU Power,

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
heard	employees are empowered to make decisions which are supported and encouraged by management. Employees are given the necessary training to make timely decisions which have an immediate effect on the company's productivity.	always trying to put out small fires – a very reactive type approach to problem-solving. Employees are now proactive in their jobs, preventing many problems that used to occur regularly. Employees feel they have ownership when their decision is respected and upheld.	time after power outage High employee morale; little turnover	North Texas region
D. Employees at all levels are unwilling to answer questions from the industry because they feel that management will not support their decisions or interpretations.	D. Looks at history charts of employees over the years for example health injuries, grading performances, turnover. Training employees uniformly provides confidence in your employees	D. Reviewing statistical charts management is able to identify problem areas whether it's employee injuries or grading performance. Formal training gives employees the autonomy to make decisions with confidence.	D. Employees have confidence in themselves and are comfortable with answering industry questions while in the field	D. AMS, MGCB, Chief

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
E. Competition of resources, lack of an organized method of realizing where resources are best suited.	E. (GIPSA) Systems Change Request (SCR) form. The SCR Form established a standard method of requesting needed materials.	E. Provides a centralized location to capture and track IT enhancements and maintenance requests/ The SCR provides a concentrated format for documenting the requirements for making the necessary changes, recognizing resources needed for changes, and the benefit(s) to be realized by implementing the requested changes. To optimize budget and system sustainment it may be necessary to prioritize and rank SCRs.	E. Since its inception the program has received over 30 requests.	E. GIPSA

Benchmarking: Evidentiary Requirements Evaluation Panel

Issue: Evidentiary Requirements Evaluation Panel
Methodology: telephone interview

Area of Challenge	***Benchmark Practice/ Best Practice***	***Outcome***	***Success Indicator***	***Source***
• Info. is misinterpreted or not fully explained throughout all levels of P&SP	• Skip-level meetings are conducted frequently. • Open staff meetings once a month.	These meetings attempt to foster greater trust between staff and management. It is felt that the more removed an employee is from management the greater the risk for distrust. Employees tend to trust their direct supervisor but the element of trust diminishes further up the chain of command.	The step level meetings give employees an opportunity to see what factors affect their managers	Division Director -EPA

Action Plans

Action Plan: Formal Training Program

Issue: P&SP doesn't have a formal training program which has led to deficiencies and lack of uniformity in employee knowledge and performance.

Desired State of Affairs: An agency training program that provides the necessary knowledge and skills to employees in an efficient, structured, and uniform manner. Training program should include investigative training (FLETC), administrative training, mentoring, and continued training as needed (possibly through IDPs).

Proposed Solution: Development and implementation of a structured (formal) training program that provides uniform training to agency personnel. Training program will start at the new employee level and continue on throughout the employee's career with GIPSA.

Action Steps	*Resources*	*Implementation Timeframe*	*Responsible Parties*	*Key Success Indicators (KSI)*
Where possible, steps also apply to new hires at Headquarters and existing employees				
Select a team that will develop a formal and structured training program. This team will be responsible for developing:	Selected employee's time, monetary resources for development	2 months	Assigned project manager	Management approval
- Training requirements	Team member assigned	1 year	Selected Team	Management approval

- Related curriculum	Team member assigned	1 year	Selected Team	Management approval
- Course materials (including computer or web-based simulation development)	Team Member assigned and IT resources	1 year	Selected Team	Management approval
- Evaluation material	Team member assigned	1 year	Selected Team	Management approval
- Core competencies and promotion requirements per job description and grade level.	Team member assigned	1 year	Selected Team	Management approval
Description of formal training program:				
<u>New Employees</u> Prior to Arrival:				
- Forward copy of Act and regulations to employee for review.	Act & regulations	Month prior to reporting to field office.	Employee's supervisor	Certified mail shows receipt
- Forward copy of the applicable sections (job specific) of the employee's	Employee's Manual	Month prior to reporting to fields office	Employee's supervisor	Certified mail shows receipt

manual for employee review. - Send training course outline and training schedule to employee.	Supervisor's time	Month prior to reporting to fields office	Employee's supervisor	Certified mail shows receipt
Upon arrival at regional office: - Designate Regional Office as employee's duty station. (Resident Agents)	None	Prior to employee's reporting date to field office.	Administrative Officer	N/A
- Provide new employee with IT related training. (general & position specific)	IT staff time and resources. Supervisor	First or second week in field office	IT staff & Supervisor	Checklist item indicating completion.
- Provide employee orientation. (administrative, organizational)	AO & Supervisor time	First or Second week in field office	AO & Supervisor	Checklist item indicating completion
- Assign AgLearn training to employee. (i.e., civil right , ethics, EEO/diversity,	Employee	First or Second week in field office	N/A	AgLearn completion certificate

computer security)				Score on a weekly written test –open book. (employee minimum score of 90%)
- Perform supervisor evaluation of employee skills & knowledge of Act.	Supervisor time	First or Second week in field office	Supervisor	
- Assign Mentor to new employee (see mentoring action plan)	None	First or Second week in field office	Supervisor	Assignment completed
- Complete job training simulation material, case studies and presentations. (Employee Position specific: Custodial, Trust, Registration, scale testing FOIA)	Supervisor & Mentor time	Week 3 through week 10	Employee	Presentation of completed solution (all efforts). Each effort is graded and recorded. (Minimum score of 70%)
- Perform field Investigations. Employee paired with experienced staff. (after simulation training)	Per diem	Week 3 through week 10	Employee	Trainer evaluation & Rating (scaled response)
- Complete formal writing training. (investigative report, policy/regulation,	Employee & Mentor time	Week 11	Employee	Report evaluation & rating by supervisor

government performance writing) - Complete procedural training (Agency processes – when and how)	Employee & Mentor time	Week 12	Employee	Written test where applicable – open book (minimum score of 90%), Checklist item indicating completion.
Report to permanent duty station and continued training: - Continued training (IDP, interviewing, scale testing, case management, investigative techniques)	Employee time	Continuous	N/A	Completion of training course (Received certificate). Written write-up of lessons learned.
- Perform field investigation with experienced staff.	Assigned Staff Per Diem	During first 2 years	Assigned Staff	Trainer evaluation & Rating (scaled response)
- Perform temporary duties in D.C. and field. (cross training)	Assigned Supervisor Per Diem	First three years	Assigned Supervisor	Lessons learned report
<u>Existing Employee</u> - Perform self	Employee's time	Prior to submission	Employee's time	Completed evaluation

evaluation of current competencies and job skills.		due date of IDP		
- Arrange meeting with immediate supervisor to discuss required competencies and skills for position or grade.	Employee & Supervisor time	Prior to submission due date of IDP	Employee & Supervisor time	Completed meeting
- Develop IDP or LDP with supervisor that addresses needed competency and skills development.	Employee & Supervisor time	Prior to submission due date of IDP	Employee & Supervisor time	Completed IDP
- Assignment of mentor (if required)	Supervisor & Mentor's time	Within 1 month of submitted IDP	Supervisor & Mentor's time	Positive mentor evaluation results
- Complete IDP	Employee's & Mentor	The period of time covered	Employee's & Mentor	100% completion of IDP items
Evaluations Process (new and existing employee): - Perform employee evaluation of training process. (quality,	Employee	Upon completion of training	Supervisor	90% satisfaction or agreement on training program evaluation of quality, timeliness,

timeliness, effectiveness, improvement suggestions) - Review evaluations and make adjustments to training curriculum as needed.	Regional or Division Directors.	Annually	Training coordinator (consult with Regional and Division Directors)	effectiveness. Obtain a 90% satisfaction rate on evaluations. Implement changes to curriculum or program.
Linkage to organizational strategic goal: Linkage to organizational strategic goal: Strategic Business Plan Goals: Goal 2: Attain compliance through investigation and enforcement. Goal 3: Implement directives, policies, regulations, and perform industry analysis that effectively and efficiently keep pace with the changing livestock, meat, and poultry industries. Goal 4: Improve organizational efficiency and effectiveness.				
Consequences if not addressed: Status Quo, inconsistently trained employees, high turn-over, and waste of training resources.				

Action Plan: Mentoring Program

Issue: *There is no formal mentoring program in place that assists in the development of employees.*

Desired State of Affairs: *An employee would have a person to go to help them transition into their new, desired, or existing role. The mentor would pass on institutional and procedural knowledge as well as being a sounding board to the employee.*

Proposed Solution: *Create a Mentoring program that assigns a Mentor to a new (or existing) employee. The Mentor's responsibility is to refine the employee's skills and to teach the employee the culture, ethics, and morals of P&SP.*

Action Steps	***Resources***	***Implementation Timeframe***	***Responsible Parties***	***Key Success Indicators (KSI)***
• *Select team to design overall mentoring program*	*Time and effort of Senior Management and training coordinator*	*1 month after Management's approval of mentoring program*	*Senior Management and training coordinator*	*Creation of design team.*
• *Develop proposal and establish guidelines for mentor selection, training, rewards, mentor/mente e pairings,*	*P&SP team members time and possible per diem and VTC cost*	*6 months*	*Design team*	*Submission of design team's proposal and guidelines and program forms by deadline*

and developing needed report forms and evaluation forms.				
• *Senior Management reviews team's proposals (i.e., guidelines, forms, award criteria ...etc.)*	*Time and effort of Senior Management and training coordinator*	*2 month review period*	*Senior Management and training coordinator*	*Approval of program proposal by Senior Management and training coordinator*
Mentor selection: • *Request for volunteers to be Mentors*	*Time and effort of Regional Directors and Division Directors*	*Once new mentor program guidelines are approved – 3 month process*	*Regional Directors and Division Directors*	*Received volunteers from all job areas and grades (Representative sample*
• *Select potential mentors*	*Time and effort of team members*	*1 month after receiving volunteer list*	*Regional Directors, Division*	*Completion of selection process by due date.*

using Dimensions of mentoring developed by HumaNext*:* *1) relationship* *2) informative* *3) facilitative* *4) confrontative* *5) motivation* *6) initiative*	http://www.newtrainingideas.com/becoming-a-mentor.html for expanded definitions of dimensions		*Directors, and training coordinator*	*Demonstrates at least 4 of the dimensions.*
• *Training of Mentors* *1) Self assessment tests to identify gaps in training skills*	*Mentor's time and effort*	*1 month after selection*	*Mentor and Training Coordinator*	*Completion of self assessment by due date*
2) Formal training (send to class or provide internal training by GIPSA employees with mentor experience)	*Cost of mentor training (informal or formal)*	*3 to 6 months*	*Mentor and Training Coordinator*	*Completions of assigned training by due date*

• *Match Mentor to employee 1) self-assessment by employee to assist supervisor in matching employee to mentor*	*Supervisor and Employee time and effort*	*For new employees as soon they come on board (First or Second week in field office)* *For existing employees – as needed.*	*Supervisor and Employee*	*Matching of Mentor to employee*
• *Meet with supervisor regarding employee's progress in mentoring program*	*Supervisor and mentor's time and effort*	*Monthly*	*Mentor and supervisor*	*Completion of monthly meetings*
• *Award Mentoring efforts (monetary award)*	*Mentor and supervisor. And allocations of additional funds to awards budget*	*Within 3 months of completing the mentoring process*	*Regional Directors and Division Directors*	*Presentation of award within required time limits*
• *Evaluate and*	*Regional Directors and Division Directors*	*3, 6, and 12*		

monitor Mentoring Program	*and training coordinator*	*month evaluation from both the Mentor and the mentee*		
<u>3 and 6 month evaluation</u>: *1) communica-tion lines – are they open* *2) relationship dynamics* *3) knowledge transfer, is this program productive*	*Regional Directors and Division Directors and training coordinator*		*Regional Directors, Division Directors and training coordinator*	*Completion of evaluation by due dates.*
<u>12 month evaluation:</u> *1) A productive employee that is retained after the probation period. Employee has learned the skills to perform at required or desired level*	*Regional Directors and Division Directors and training coordinator*		*Regional Directors, Division Directors and training coordinator*	*Completion of evaluation by due dates. And drop in turn over rate.*
Linkage to organizational strategic goal: *Improve organizational efficiency and effectiveness. Improve organizational climate.*				

Consequences if not addressed: *High turn over, employees without confidence, and inefficient use of agency resources.*

Action Plan: Employee Suggestion

Issue:

Employees are not empowered to push the limits of their abilities, duties, and responsibilities nor are they encouraged to develop new and better ways of doing their jobs. There may be a loss of ideas that could contribute to the fulfillment of the Agency's mission. If the Agency does not adopt a culture of innovation the Agency may not be able to adapt to an ever changing industry and the needs of its employees.

Desired State of Affairs:

P&SP would establish and support an agency culture where an employee's creative ideas are evaluated and when appropriate, implemented to improve P&SP's regulation and monitoring of the livestock industry.

Proposed Solution:

Develop and implement a structured Employee Suggestion Program to enhance the current GIPSA Idea Hotline that will encourage and reward PSP employees´ creativity and ideas for improved efficiency and effectiveness. The Employee Suggestion Program would be a tool to encourage and reward employees to share their ideas.

Action Steps	***Resources***	***Implementation Timeframe***	***Responsible Parties***	***Key Success Indicators (KSI)***
* Create an Employee Suggestion Program Committee	* PSP employees - a variety of positions within the Agency represented. *Administrative expenses	60 Days	* Management * Current non-temporary employees	Committee has been formally announced to GIPSA employees within 6 months
1. Selection of committee members: The committee would be	* PSP employees - a variety of positions within the Agency	Within 6 months of presentation to Management Team	Management	A committee that broadly represents the Agency as a whole

selected from the current PSP employee pool. The committee may be a representative of PSP, it may be voluntary or selected/nominated by peers.	represented. *Administrative expenses			
2. Initial task: To review and critique current GIPSA Idea Hotline and use findings to create the new Employee Suggestion Hotline	* PSP employees - a variety of positions within the Agency represented. *Administrative expenses	Within 2 months of committee formation	Newly created committee	Committee has presented management with their findings and suggestions for the creation of the Employee Suggestion Hotline within 2 months of committee formation
3. Main Task: To collectively determine the approval/non-approval of each suggestion.	Newly created committee	Monthly	Newly created committee	Committee quickly and efficiently decide on suggestions and notify suggestion(s) of decision and reason of accept/deny
4. Meetings: The committee would meet monthly	Facility to hold meetings. This can be done at a centralized location or virtually. May incur	Monthly	Newly created committee	The entire committee is fully present at each meeting. Each member missing no more than 2 meetings

	administrative expenses			
5. Serving time: Committee members would serve on the committee for a specified period of time (for example 2 years).	* PSP employees - a variety of positions within the Agency represented. *Administrative expenses	2 years	Newly created committee	Committee members fully engaged and working toward promoting the overall health of the Employee Suggestion Program
* Employee Suggestion Program:				
1. Suggestion submission: Suggestions must be submitted on a "Suggestion Application Form" and signed by the Suggester(s).	*Administrative expenses * Newly created committee	Throughout the current year	*Employee with new suggestion * Newly created committee to publicize the new program	Employees feel confident in new system and frequently make their ideas known. The percentage of suggestions submitted will increase by 3-5% annually.
2. Evaluation criteria: The suggestion will be evaluated by the committee using a	Newly created committee	Determine eligibility of suggestion within 30 days	Newly created committee	*Committee will be able to efficiently and objectively review suggestions and

predetermined evaluation criteria Example - Valid: the suggestion would propose to do one or more of the following: A. Eliminate useless operations, duplications. B. Improve methods, procedures, product quality, service, working conditions, C. Increase productivity, employee motivation. Provide new methods of doing business. Example Invalid – Suggestions are ineligible if: A. Represents a part of normal duties, and already have the authority to make the change. C. Relate to grievances regarding salaries,				collectively agree based on standard criteria the fate of the suggestion. *The employees will have a clear understanding of their responsibilities in preparation of a suggestion to the committee

promotion, etc. 3. Suggestion evaluation: The participant will receive a justified response about committee's determination of approval or disapproval				
4. Suggestion Implementation: Identify implementation process and allocate resources	*Newly created committee * Committee may choose to survey users once or twice each year.	Within 6 weeks of submitting suggestion on official form	Newly created committee	Employees will know that their suggestion was objectively evaluated. The employee satisfaction level of each participant in the Employee Suggestion Program will be 90% or greater.
5. Award and recognition program on innovative ideas: The committee would design an awards program to complement the "employee suggestion program"	*Budgeted expenses * Upper management to allow for implementation	Within 6 months of presentation to Management Team	Newly created committee	The suggestion (if to be implemented) will be done in an efficient and timely manner. Suggestions not implemented within 2 years will be presented to the
6. Program				

evaluation and quality control: Develop an internal quality assurance device to ensure that the suggestion program is effectively working for the employees	Agency to provide budgeting specifically to allow program to offer monetary awards	Accepted suggestion should be implemented within 2 years	Newly created committee	committee for explanation of delay. * Suggestions implemented are rewarded based on guidelines designed by committee. * Employee making the suggestions receive awards timely based on these implemented guidelines
	* PSP employees - a variety of positions within the Agency represented. *Administrative expenses	Within 6 months of presentation to Management Team	Newly created committee or independent third party (committee) to evaluate progress	* Track all costs and savings associated with the changes * Results of an “Innovation Audit” – one on one interviews with the committee members and a random selection of employees that submitted suggestions to determine strengths/weaknesses. The outcome should

				improve the culture of innovation and define any obstacles and increase motivation. * Data from Annual report about the number of suggestions, number adopted/not adopted, and any savings incurred due to the adoption of a process, etc *OAS survey- Innovation item & dimension score increases

Linkage to organizational strategic goal:

- Goal 2: Attain Compliance through Investigation and Enforcement
- Goal 4: Improve Organizational Efficiency and Effectiveness

Consequences if not addressed:

Morale may decrease leaving a work environment where employees just do a job with no sense of pride and ownership. There may be a loss of ideas that could contribute to the fulfillment of the Agency's mission. If the Agency does not continually seek innovative ideas of doing business the industry may perceive that P&SP is not responsive to their complaints and questions and employee turnover may increase which may affect productivity and costs

Action Plan: Capturing Institutional Knowledge

Issue: Management does not have knowledge management tools that capture and transfer institutional knowledge from departing employees. Capturing critical knowledge from departing employees may be lost which could have an impact on new employee' effectiveness and productivity. Loss of knowledge can affect the Agency in providing continuity in regulatory matters.

Desired State of Affairs: Implement knowledge management tools that will capture and transfer institutional knowledge.

Proposed Solution: To capture critical knowledge from departing employees and transfer to P&SP staff by developing a mentoring program and conducting interview processes.

Action Steps	***Resources***	***Implementation Timeframe***	***Responsible Parties***	***Key Success Indicators (KSI)***
- For a mentoring program please refer to the mentoring action plan - Interview process Process: • Identify key employees who possess the critical knowledge	Retiring employees or staff separating from the agency	Beginning up to six months before expected retirement or as soon as possible after notice of separation from	Departing employee's supervisor	Employees are identified within timeframe.

• Identify information to be captured (ex. key job responsibilities, investigation activities)	Formal cases that departing employee was involved with; databases and files maintained by departing employee	agency 1-2 weeks	Departing employee and supervisor	Information to be captured is identified within timeframe.
• Select employee with knowledge pertaining to subject to develop questions for interview by reviewing the departing employee's job description and key responsibilities	Voluntary basis - co-workers, tenured employees who were involved in investigations with departing employee	1 week	Departing employee's supervisor	Interviewer is selected within timeframe.
• Interviewer prepares interview process questionnaire	Employee Assessment and Task Description tool	1 week	Interviewer, departing employee, and departing employee's supervisor	Questionnaire is developed within timeframe.
• Conduct interview with departing employee using video or audio	Interview process questionnaire Video or audio	1 week	Interviewer and departing employee	Interview is completed within timeframe.

recording equipment to capture actual words and thoughts	recording equipment			
• Interviewer creates power-point presentation based on knowledge captured in interview	Recording of interview Computer for developing power-point presentation	2-3 weeks	Interviewer	Presentation is completed within timeframe.
• Departing employee and supervisor review power-point presentation for final edit	PowerPoint presentation	1-2 weeks	Departing employee and supervisor	Review is completed within timeframe.
• Disseminate the captured knowledge to departing employee's replacement and other employees	PowerPoint presentation posted on shared network drive for access	Less than 1 week	Departing employee's supervisor	Presentation is placed on network drive within timeframe.
• Evaluate outcome of the interview	Institutional knowledge gained by	During performance appraisal (mid-year,	Unit Supervisors	Assessment of the replacement staff's ability to utilize the

process	replacement employee; job performance	annual)		knowledge gathered during interview process. Assessment of employee's learning curve.
Linkage to organizational strategic goal: • *Goal 4: Improve Organizational Efficiency and Effectiveness*				
Consequences if not addressed: *Critical knowledge from departing employees may be lost which could have an impact on new employee's effectiveness and productivity. Loss of knowledge can affect the Agency in providing continuity in regulatory matters.*				

Action Plan: Evidentiary Requirements Evaluation Panel

Issue: Information regarding standards, cases, and policy requirements is communicated in fragments to an individual, office, or unit and is not equally disseminated to Packers and Stockyards Program (P&SP) employees. P&SP does not have a procedure in place to assess the applicability of new information regarding evidentiary requirements and case development. P&SP does not uniformly distribute the new information to investigators and legal specialists across regional offices. Consequently, this information is often passed through the agency by hearsay, leading to inconsistent understanding of case requirements across regions and units and contributing to the delay in case files being forwarded to the Office of General Counsel (OGC).

Desired State of Affairs: P&SP would maintain a current and transparent list of evidentiary guidelines for case files and develop a protocol to update these guidelines as new OGC instructions and/or relevant Administrative Law Judge (ALJ)/Federal Court decisions become available.

Proposed Solution: Establish a panel responsible for evaluating OGC instructions and judicial decisions that potentially impact P&SP case development for applicability to other cases handled by P&SP and for formally disseminating this information to the remainder of the agency.

Action Steps	Resources	Implementation Timeframe	Responsible Parties	Key Success Indicators (KSI)
• Identify the appropriate personnel to form the panel. o Legal specialists, o Unit supervisors, o Policy and Litigation Division Director	Net Meeting VTC Staff time	30 Days	Management	Panel Members are identified and appointed
• Direct all legal specialists	Staff Time	30 Days	Management	Written directive is

that receive any OGC guidance regarding standards of evidence or other case requirements to report these instructions to the appointed panel.				distributed
• Report OGC instructions or relevant ALJ or Federal Court decision to the panel	Staff Time	Within 7 Days	Legal specialist	Panel receives the instruction and convenes
• Convene to consider the applicability of the instructions to other cases and offer a written opinion	Staff Time	Within 30 days of notification from the legal specialist	Panel members	Written opinion is completed
• Consult with OGC to confirm Panel's interpretation of the instructions or decisions	Staff Time	Within 14 days of completion of the opinion.	Panel appointee	Completed OGC consultation and OGC concurrence is obtained
• The panel distributes the information to the employees in a written policy.	Staff Time	Within 30 days of confirmation	PLD Director	Policy is distributed to the agency
Linkage to organizational strategic goal: #4, Improve organizational efficiency and effectiveness				

Consequences if not addressed: Investigators will continue to develop case files unaware of potentially beneficial OGC guidance on similar cases or develop case files based on a misinterpretation of OGC instructions. The lack of knowledge or misinterpretation of OGC instructions will continue to create unnecessary delays of case files and also contribute to the perception that “use of resources” is weak within the agency**.**

Progress Report Presentation

Packers & Stockyards Program

Action Planning Team
Progress Report

September 12, 2006

"It Takes Commitment"

P&S Action Planning Team

Team Members:

- *Frieda Achtentuch*
- *Brian Burk*
- *Herple Ellis*
- *Catherine Grasso*
- *Mary Heisey*
- *Jason Lopez*
- *Gary May*
- *Julie Shamblin*
- *Janell Smalts*

Sponsor: Jay Johnson

P&SP Action Planning Team

"Speak your mind but ride a fast horse."

-- Cowboyology

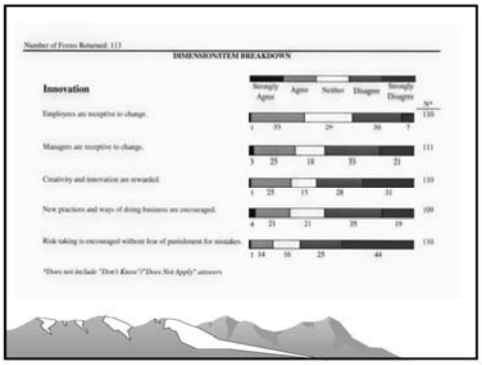
Background

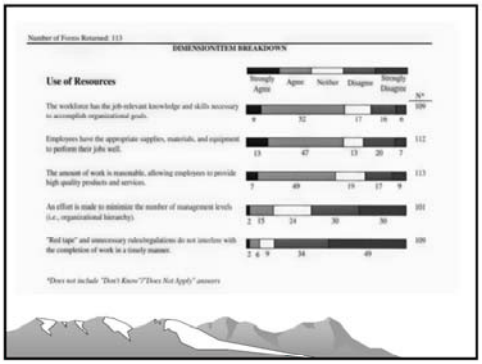
- *OPM Organizational Assessment Survey (OAS)*
- *Action Planning Team (APT)*
- *OPM Action Planning Workshop*
- *Agency APT Gets to Work*

Scope of Work

Innovation

Use of Resources





Action Planning Process

- *Define the issues*
- *Assess change environment*
- *Benchmarking*
- *Brainstorm possible solutions*
- *Create Action Plan and present to management*

Three Issues Defined:

Innovation

Use of Resources:

Communication

Training

Assessing the Change Environment

SWOT Analysis:

- *Internal Strengths*
- *Internal Weaknesses*
- *External Opportunities*
- *External Threats*

Benchmarking

Literature Searches
Websites
Interviews:

- *Telephone*
- *Personal*

Brainstorming

An idea-generating process that encourages alternatives while withholding criticism

Create Action Plan

Action Plans are SMART:

- ***S**pecific*
- ***M**easurable*
- ***A**chievable*
- ***R**ealistic*
- ***T**ime-bound*

What's Next?

- *Continue benchmarking*
- *Identify possible solutions*
- *Propose Action Plan to management on October 26, 2006*
- *Management assess the Action Plan for possible implementation*

What You Can Do

- *You've already contributed!*
- *Input to team members*
- *Help implement changes and continue commitment to P&SP's overall success*

Conclusion

- *Questions?*
- *Team members are always available*
- *Please fill out forms and drop them in the box any time during the conference*
- *Thank you!*

"It Takes Commitment"