

PERFORMANCE MANAGEMENT

1. PURPOSE

This Directive establishes performance management policy for Marketing and Regulatory Programs (MRP) employees.

2. REPLACEMENT HIGHLIGHTS

This Directive replaces:

- a. AMS Directive 4430.1, dated 5/1/01;
- b. APHIS Directive 4430.5, dated 12/29/05; and
- c. GIPSA Directive 4430.1, dated 4/14/95.

3. COVERAGE

This Directive is applicable to all MRP employees except:

- a. Members of the Senior Executive Service;
- b. Foreign Service employees;
- c. Senior Level (SL) and Scientific and Professional (ST) employees;
- d. Employees appointed by the President;
- e. Employees appointed to positions who are not expected to be employed longer than the 90-day minimum period;
- f. Employees serving in temporary appointments for less than one year, who agree to serve without a performance evaluation, and who will not be considered for reappointments or pay increases based, in whole or in part, on performance; and
- g. Employees excluded from coverage by statute or by OPM regulation, including those excluded by 5 U.S.C., Section 4301 (2).

Schedule C employees appointed under 5 CFR, Section 213.3301, Positions of a Confidential or Policy-determining Nature, are subject to the provisions of this directive except for coverage by the rights in 5 U.S.C., Section 4303, Actions Based on Unacceptable Performance.

4. BACKGROUND

The Department of Agriculture (USDA) established Departmental Regulation (DR) 4040-430, Performance Management, on October 1, 2007. Per the regulation, all USDA mission areas were required to develop and maintain a results-oriented performance culture as reflected in the Government Performance and Results Act of 1993, the Chief Human Capital Officers Act of 2002, the Office of Personnel Management (OPM) Human Capital Accountability and Assessment Framework, and the USDA Strategic and Human Capital Management Plans.

5. POLICY

- a. It is MRP policy to implement the performance management requirements of [Departmental Regulation \(DR\) 4040-430, Performance Management](#). All covered positions will meet the requirements of this DR.
- b. The MRP appraisal period is October 1 through September 30 of each year.
- c. Performance plans for supervisors and managers must contain critical performance elements to address equal opportunity/civil rights, cultural transformation, hiring reform, and performance management accountability. [Mandatory performance elements](#) are listed below:
 - (1) AMS.
 - (a) Resource Management.
 - (b) Equal Opportunity/Civil Rights.
 - (2) APHIS.
 - (a) Human Resource Management.
 - (b) Equal Employment Opportunity/Civil Rights.
 - (3) GIPSA.
 - (a) Supervision/Leadership/Management.
 - (b) Equal Employment Opportunity/Civil Rights.

- d. Performance plans for all non-supervisory employees must contain performance standards that address civil rights awareness and interpersonal skills in either an existing or a newly established critical performance element.
- e. Each performance element must have a performance standard developed for the “Meets Fully Successful” level. Supervisors may decide whether to include standards for the “Exceeds Fully Successful” level.
- f. Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating, or both. A written justification is required for any element rated “Does Not Meet Fully Successful”.
- g. DR 4040-430 outlines procedures for addressing unacceptable performance. MRP supervisors and managers will consult with assigned Employee Relations Specialists for assistance in developing the opportunity to demonstrate acceptable performance and the notices to the employee.
- h. As a part of the performance planning process, each employee is encouraged to discuss short and long-term learning and developmental goals with the supervisor and together develop an Individual Development Plan (IDP). The IDP includes approved elective training, education, and developmental activities in which employees may engage to improve their knowledge, skills, and abilities and ultimately, job performance. Information regarding IDPs is found in [Creating Individual Development, DR-4040-410](#).
- i. Managers and employees in programs with recognized bargaining units are advised to refer to appropriate negotiated agreements to determine how this Directive is implemented for bargaining unit members.

6. OPERATING PROCEDURES

Performance management operating procedures are contained in the [Human Resources Desk Guide, Subchapter 4430](#).

7. INQUIRIES

- a. Inquiries on this Directive should be directed to the Human Resources Policy Branch at 301-734-6466.
- b. Inquiries regarding poor performance should be directed to the servicing Employee Relations Specialist.

- c. This Directive is accessed on the [APHIS/AMS](#) Administrative Issuances homepage.

/s/

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