

Directive

3010.2

February 18, 2016

Policies, Procedures, and Guidance Issuance

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1. PURPOSE

This directive defines the process for developing and maintaining inspection policies, procedures, and guidance issued by the Federal Grain Inspection Service (FGIS).

2. BACKGROUND

As part of the United States Department of Agriculture's (USDA) Signature Process Improvement initiative in fiscal year 2015, FGIS identified methods to increase efficiency and accuracy in the process of developing, maintaining, and implementing policies and procedures. A working unit composed of individuals across all FGIS organizational units analyzed the existing issuance process and searched for areas of improvement. The following procedures reflect the responsibilities of organizational components and the streamlined issuance process.

3. DEFINITIONS

- a. Executive Management Team (EMT) – The Deputy Administrator of FGIS, Staff Assistant, and Directors of FGIS.
- b. FGIS Editor – A staff member of Field Management Division's (FMD) Policies, Procedures, and Market Analysis Branch (PPMAB) responsible for formatting and preparing documents for issuance.
- c. Office of Primary Responsibility (OPR) – The organizational component with program responsibility for the topic covered by the inspection policy, procedure, or other guidance.
- d. Policies, Procedures, and Guidance (PPG) – All communication media that is produced by FGIS for use in the official inspection system.
- e. Stakeholders – Individuals, committees, and industry organizations who will be impacted by or who have a direct interest in the PPG.
- f. Triggering Event – An event that precipitates the need for new inspection PPG development or maintenance (e.g., a new procedure or modification to current procedure).

4. FORMAL ISSUANCES

Formal issuances are documents that communicate FGIS inspection policies and procedures. They are issued in the following formats:

- a. Handbooks – Permanent issuances that provide technical guidance and detailed procedures on a particular subject or function. Handbooks often must be referred to on a daily or frequent basis. These can be changed without reissuing or reprinting the entire handbook.
- b. Directives – Permanent issuances that are in force until canceled. Directives are used to issue delegations of authority, basic policies and operating instructions. Directives can be changed without reissuing or reprinting the entire issuance if the change does not affect the current policy. Directives differ from Handbooks by limiting the scope of policy or procedure to one specific topic or address a topic for which no handbook is applicable.
- c. Notices – Temporary, one-time issuances that normally address a single subject or action, establish short-term programs or interim procedures. Program notices normally have a 1 year retention period, unless the OPR authorizes an extended retention period. Program notices must be retained until cancelled.

5. INFORMAL ISSUANCES

- a. Board of Appeals and Review (BAR) Questions and Answers – Temporary or area-specific questions that deal with interpretive grading issues in order to ensure inspectors align with the BAR.
- b. Policy Bulletin Board Messages – Temporary, one-time issuances that normally address application of an existing policy to a specific set of circumstances that must be retained until cancelled.
- c. Division specific information tools which may only reiterate existing policy NOT create new policy.
 - (1) E-Mail
 - (2) Website updates
 - (3) Alternative communication tools

6. POLICY

It is FGIS policy to:

- a. Maximize efficiency and accuracy while producing PPG in a timely manner.
- b. Ensure that all PPG produced is formatted to the USDA-approved format.
- c. Ensure that all PPG issued is reviewed by all functions within FGIS.
- d. Advise all stakeholders with the most current and relevant information available.

7. RESPONSIBILITIES

a. EMT will:

- (1) Conduct annual reviews of all existing PPG due for modification or creation, with notification of timelines to stakeholders for input.
- (2) Assign appropriate divisional resources for PPG development and maintenance.
- (3) Prioritize PPG work load and designate the OPR.
- (4) Identify and assign subject matter experts within Divisions to assist OPR.
- (5) Provide final clearance of all PPG requiring the formal clearance process.

NOTE: Directives, Handbooks, and Notices require formal clearance for substantive changes.

b. OPR will:

- (1) Ensure that all PPG developed and maintained conforms to FGIS' PPG Development and Issuance Process as outlined (Attachment 1).
- (2) Provide a list of all PPG to be developed and/or maintained on an annual basis to the EMT.
- (3) Advise EMT of non-substantive changes needed (e.g., defunct organizations, staffing changes, non-content related edits).
- (4) Identify whether PPG should be formal or informal.
- (5) Recommend subject matter experts from other Divisions to assist with issuance of PPG.

- (6) Coordinate the PPG kickoff meeting and complete the kickoff checklist (Attachment 2) with the appropriate work group of subject matter experts.
 - (7) Draft and track all document changes and notate on the clearance sheet concurrence or changes requested by division.
 - (a) Print out and proof read document.
 - (b) Ensure peer review by at least two Agency employees not affiliated with the document working group.
 - (8) Obtain document issuance number from FGIS Editor.
 - (9) Ensure that PPG is reviewed by OPR Division Director ensuring developmental staff work is completed.
 - (10) Forward drafted document in accordance with the kickoff checklist, document template (Attachment 3), style sheet (Attachment 4), final clearance sheet (Attachment 5), and any other notes to the FGIS Editor.
 - (11) Inform the FGIS Editor where the document is to be located and what files must be updated or removed.
 - (12) Arrange an advisory briefing for the Office of the Deputy Administrator.
- c. FGIS Editor will:
- (1) Format final document in department approved formatting for the website.
 - (2) Ensure document complies with section 508 of the Rehabilitation Act of 1973.
 - (3) Route document to the Webmaster for posting to the website upon final clearance.
 - (4) Notify all stakeholders of final document by way of email.
- d. PPMAB will:
- (1) Assign a review date for each document issued.
 - (2) Release final document.

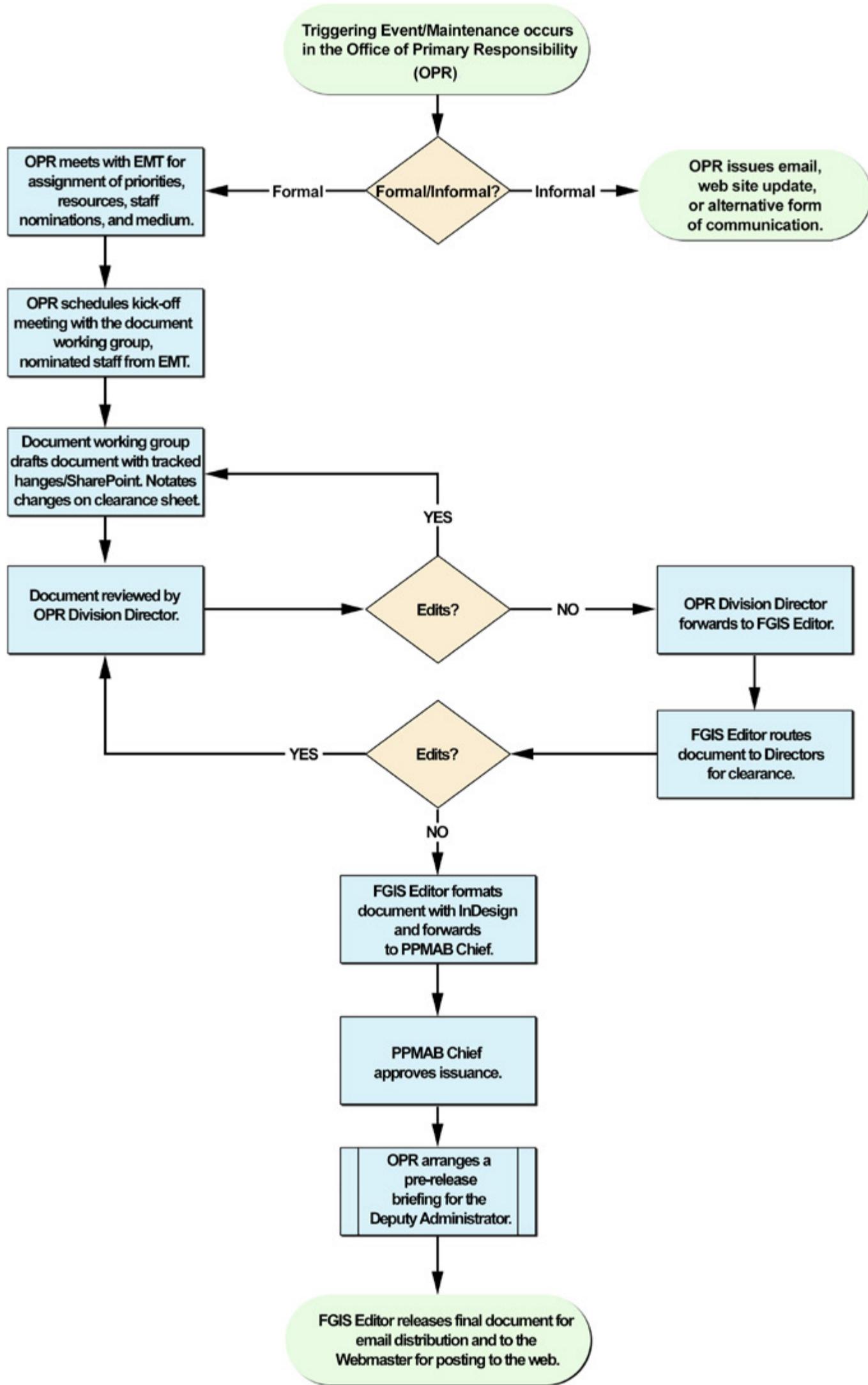
8. INQUIRIES

Direct inquiries regarding this Directive to Policies, Procedures, and Market Analysis Branch, Pat McCluskey by email at Patrick.J.McCluskey@usda.gov or by phone at 816-659-8403.

/s/Patrick McCluskey

Patrick McCluskey, Chief
Policies, Procedures, and Market Analysis Branch

Attachment1: Process Flowchart



Attachment 2: Document Kickoff Checklist

Kickoff meeting date	
Why is this document being implemented? What is the triggering event?	
Which division is responsible for the document?	<input type="checkbox"/> FMD <input type="checkbox"/> TSD <input type="checkbox"/> DIIA <input type="checkbox"/> QACD <input type="checkbox"/> ODA <input type="checkbox"/> Other: _____
Which other divisions will be affected by the final document.	<input type="checkbox"/> FMD <input type="checkbox"/> TSD <input type="checkbox"/> DIIA <input type="checkbox"/> QACD <input type="checkbox"/> ODA <input type="checkbox"/> Other: _____
Who is the lead author?	
Identify other divisions, branches, or personnel that should be sought for input.	
What type of document is being drafted?	<input type="checkbox"/> Handbook <input type="checkbox"/> Directive <input type="checkbox"/> Program Notice <input type="checkbox"/> Other: _____
Is the document internal or external?	<input type="checkbox"/> Internal <input type="checkbox"/> External
Is this a new document, or a revision to a current document?	<input type="checkbox"/> New <input type="checkbox"/> Revision (identify document number) _____
Does this document represent a change or update to current policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure at this time
What is the targeted completion date?	
What other stakeholders might have an interest in the policy presented in this document?	
Does the document require formal clearance?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If so, from whom is concurrence needed?	Division Directors
Does the document require publication in the Federal Register?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Determine Sharepoint Feedback Collection Workflow	<input type="checkbox"/> Allow feedback only <input type="checkbox"/> Allow feedback and track changes (collaborative version)
What is the target start date for requesting feedback?	
What is the target end date for requesting feedback?	

Attachment 3: Document Format Template for Drafting Issuances

TITLE OF DIRECTIVE OR CHAPTER

1. **PURPOSE**
2. **BACKGROUND**
3. **DEFINITIONS**
4. **XXXX**
5. **XXXX**
6. **POLICY**
7. **RESPONSIBILITES**
8. **INQUIRIES**

Text aligns under the indent level (0.5" per level)

- a. XXXX. YYY
- b. XXXX. YYY
 - (1) XXX
 - (a) XXX
 - (b) XXX
 - 1 XXX
 - 2 XXX
 - a XXX
 - b XXX

Only use sublevels for more than one (e.g., no 1 without 2)

Formatting:

Arial

12 POINT BOLD ALL CAPS FOR TOP LEVEL

12 point for document body.

Subheadings Underlined with Principle Words Capitalized and Followed by Period.

NOTE: Bold with word "NOTE" in all caps

9 point for tables.

8 point for footnotes.

Double space between paragraphs and numbered/bulleted points

Attachment 4: Style Sheet

General Style:

Use cover sheets for all Handbooks

List revisions, with most recent first.

If not on this sheet, consult Government Printing Office (GPO) [Style Manual](#)

Use the serial comma (i.e., a, b, and c).

Acronyms and Initialisms:

Use all caps for acronyms and initialisms.

Completely write out the first time with acronym in parenthesis.

Use abbreviation/acronym remainder of document.

Grain Inspection, Packers & Stockyards Administration (GIPSA)

Federal Grain Inspection Service (FGIS)

Technology and Science Division (TSD)

Field Management Division (FMD)

Department Initiatives and International Affairs (DIIA)

Quality Assurance and Compliance Division (QACD)

Standard word abbreviations can also be found in the GPO Style Manual

Diverter-type mechanical sampler (D/T)

Capitalization:

Capitalize the first letter in proper names, titles, and headings.

Do **NOT** capitalize common nouns (e.g., federal).

Uniformity with capitalization for grains, classes, and subclasses.

When referring to grain generically it is **NOT** capitalized.

When referring to specific classes and subclasses use the following as examples:

Yellow corn, Yellow soybeans, Soft Red Winter wheat, and Dark Northern Spring wheat.

CuSum

Capitalize Field Office.

Capitalize the word “State” when referring to one of the U.S. States.

Capitalize all job titles.

Dates:

On January 5, 2016, I started working on this project.

When referring to a continuous period of two years or more, write as 2001-09.

For nonconsecutive years use a comma for two years listed together 2004, 2008.

Do not use th, rd, or nd after a date.

Names of months followed by the day, or day and year, are abbreviated in footnotes, tables, leader work, side notes and in bibliographies. May, June and July are always spelled out.

Jan.	Apr.	Oct.
Feb.	Aug.	Nov.
Mar.	Sept.	Dec.

Spell out days of the week, unless it is for a narrow list in a table.

Fiscal year 2016 (FY16)

Hyphens:

When compound adjectives are used they must be hyphenated

Numerals:

Use Arabic numerals for all numbers.

Use commas when numbering four or more digits.

Use a leading zero before decimals (0.5).

When one number modifies another, write out the first number. "Two 15 minute breaks a day are allowed." **Only exception for Arabic numerals.**

Always use the % symbol.

Punctuation:

Place the apostrophe after the possessive form of words that end with an "S" sound (e.g., Jones').

Use a single justified word space after periods. This applies to all types of composition.

Place punctuation **inside** quotation marks and **outside** parentheses, unless the parentheses include a full sentence.

Time:

All times are to be shown as military time.

Vertical Lists:

Bullet points should be used for lists.

Bulleted lists must have at least three items and should not have more than six.

Capitalize the first letter of each item.

Only put a period at the end if it is a complete sentence.

Use parallel wording for lists.

- Providing
- Managing
- Networking

Use numerical lists for step by step instruction:

1. Put on sock.
2. Put on shoe.
3. Adjust tongue of shoe.

Miscellaneous Words or Topics:

Use checkload, checktest, and checkweigh (not check-test or check test)

"The Act" (context) or "the USGSA" or "the AMA"

Use deoxynivalenol or DON, not vomitoxin.

e.g. shows an example, i.e. clarifies. Place both in parentheses and followed by a comma (i.e., like this).

Attachment 5: Directive Clearance Sheet

Attachment 5: Directive Clearance Sheet	
DOCUMENT CLEARANCE AND APPROVAL	DATE
	ORIG.
	Originator:

TITLE:

SUMMARY OF CHANGE(S) OR REMARK(S):

REASON(S) FOR CHANGE(S):

INTERNAL TEAM PARTICIPANTS:

CONCURRENCE VOTE OPTION:

Outstanding Issues: