Mid South Area Council for Office Professionals

MSAOP

Standard Operating Procedures

SOP

Revised March, 2007

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AGENCY ACRONYMS

AAD	Associate Area Director
AAO	Area Administrative Officer
ABFO	Area Budget & Fiscal Officer
AC	Administrators Council
ACS	Area Computer Specialist
AD	Area Director or Agriculture Department; e.g., AD-332
ADA	Associate Deputy Administrator
ADO	Authorized Departmental Officer
ADODR	Authorized Department Officer's Designated Representative
ADOL	Avian Disease & Oncology Laboratory
ADP	Automated Data Processing
AE	Architectural Engineer
AES	Agricultural Experiment Station
AFM	Administrative and Financial Management
AM	Administrative Management
APHIS	Animal Plant Health Inspection Service
APP	Annual Performance Planning
ARIS	Agricultural Research Information System
ARMPS	Annual Research Management Planning System
ARS	Agricultural Research Service
ARSITS	Agricultural Research Service Invention Tracking System
ASAP	As Soon As possible
ASST AD	Assistant Area Director
B&F	Budget & Fiscal
BA	Beltsville Area
BARC	Beltsville Agricultural Research and Development
BARD	Binational Agricultural Research and Development
BPA	Blanket Purchase Agreement
BPMS	Budget Program Management Staff
BRCOM	Biotechnology Research Oversight Committee
BRDC	Biotechnology Research & Development Corporation
BT	Biotechnology
CAD	Contracting & Assistance Division
CAT	Category
CD	Center Director
CEPS	Cluster Environmental Protection Specialist
CFC	Combined Federal Campaign
CNRC	Children's Nutrition Research Center
COB	Close of Business
CR	Civil Rights
CRADA	Cooperative Research and Development Agreement
CRAS	CRIS Resource Allocation Schedule
CRIS	Current Research Information System
CS	Contract Specialist
CSREES	Cooperative State Research Education Extension Service

Agency Acronyms

CSRS	Civil Service Retirement System
CTAP	Career Transition Assistance Program
CWU	CRIS Work Unit
CY	Calendar Year
DA	Deputy Administrator
DAD	Deputy Area Director
DAEA	Designated Area Ethics Advisor
DE	Data Entry
EAP	Employee Assistance Program
EEAC	Equal Employment Advisory Council
EEO	Equal Employment Opportunity
EOD	Enter on Duty
EPF	Employee Performance Folder
ERRC	Eastern Regional Research Center
ERS	Economic Research Service
FAS	Foreign Agricultural Service
FEGLI	Federal Employees' Group Life Insurance
FEHB	Federal Employees' Health Benefits
FERS	Federal Employees' Retirement System
FFIS	Foundation Financial Information System
FMD	Financial Management Division
FOIA	Freedom of Information Act
FPL	Full Performance Level
FTE	Full Time Equivalent
FY	Fiscal Year
FYI	For Your Information
BGL	Government Bill of Lading
GOV	Government Owned Vehicle
GPO	Government printing Office
GPRA	Government Performance & Results Act
GS	General Schedule
GSA	General Services Administration
HNRC	Human Nutrition Research Center
HPRL	High Priority Requirements List
HQ	Headquarters
HRD	Human Resources Division
HRM	Human Resource Management
IDP	Individual Development Plan
IR	Invention Report
IS	Information staff
LAO	Location Administrative Officer
LAPC	Local Agency Program Coordinator
LC	Location Coordinator
LD	Laboratory Director
LERB	Labor Employee Relations Branch

LOTS	Location Obligation Tracking System
LS	Lead Scientist
LWOP	Leave With Out Pay
MAP	Modernization of Administrative Process
MARC	Meat Animal Research Center
MSA	Mid South Area
MSACOP	Mid South Area Council for Office Professionals
MU	Management Unit
MWA	Midwest Area
NAA	North Atlantic Area
NACOP	National Advisory Council for Office Professionals
NADC	National Animal Disease Center
NAL	National Agricultural Library
NAS	National Agricultural Statistics Service
NCAUR	National Center for Agricultural utilization Research
NCRPIS	North Central Regional Plant Introduction Station
NFC	National Finance Center
NFMP	National Facilities Management Plan
NOB	North Operations Branch
NPA	Northern Plains Area
NPL	National Program Leader
NPPC	National Patent Program Coordinator
NPS	National Program Staff
NSAC	National Secretarial Advisory Council
NSB	National Service Branch
NSR	National Swine Research
NSTL	National Soil Tilth Laboratory
NTE	Not to Exceed
OA	Office of the Administrator
OCI	Office of Cooperative Interactions
OGC	Office of the General Counsel
OGE	Office of Government Ethics
OICD	Office of International Cooperation & Development
OIG	Office of Inspector General
OIRP	Office of International Research Programs
OPM	Office of Personnel Management
OSP	Office Support Professionals
OSQR	Office of Scientific Quality Review
OTT	Office of Technology Transfer
OWCP	Office of Workers' Compensation Program
PA	Program Analyst
PAA	Program Analyst Assistant
PAO	Procurement Assistance Officer
PASTG	Program Administrative Support Task Group
PC	Personal Computer

PCMS	Procurement Card management System
PD	Position Description
PFT	Permanent Full Time
PI	Principal Investigator
PIADC	Plum Island Animal Disease Center
PIED	Policy, Innovation, & Employee Development
PIP	Performance Improvement Plan
PM	Program Management
POB	Personnel Operations Branch
POV	Privately Owned Vehicle
PPT	Permanent Part Time
PRO	Promote
PSP	Position Staffing Plan
PWA	Pacific West Area
QSI	Quality Step Increase
R&D	Research & Development
R&M	Repair and Maintenance
RAP	Research Apprenticeship Program
RARC	Russell Agricultural Research Center
REE	Research, Education & Economics
RGEG	Research Grade Evaluation Guide
RIF	Reduction in Force
RIG	Remain In Grade
RL	Research Leader
RMIS	Research Management Information System
RPEC	Research position Evaluation Committee
RPES	Research position Evaluation System
RPS	Research Project Statement.
RSA	Research Support Agreement
RU	Research Unit
SAA	South Atlantic Area
SAMS	Salary Allocation Management System
SBG	Scored Below Grade
SCD	Service Computation Date
SCEP	Student Cooperative Education Program
SEC	Secretary
SES	Senior Executive Service
SEU	Special Examining Unit
SIP	Summer Intern Program
SIR	Statutory Invention Registration
SLP	Salary Lapse Policy
SPA	Southern Plains Area
SRRC	Southern Regional Research Center
ST	Scientific and Technical Positions
STAR	System for Time and Attendance Reporting

Agency Acronyms

STEP	Student Temporary Employment Program
STP	Strategic Plan Codes
SY	Scientist (Science Year)
T&A	Time & Attendance
TFT	Temporary Full Time
TPS	Target Percent in Salaries
TSP	Thrift Savings Plan
USDA	United States Department of Agriculture
USDFRC	U.S. Dairy Forage Research Center
WGI	Within Grade Increase
WHNRC	Western Human Nutrition Research Center
WRRC	Western Regional Research Center

AGREEMENTS

EXTRAMURAL AGREEMENTS

Descriptions:

Specific Cooperative Agreements (Funds Going Out)
Trust and Reimbursable Agreements
Non-Funded Cooperative Agreements
Standard Cooperative Agreements
No-funds to ARS
Services Only Agreement
Cooperative Research and Development Agreements (CRADA's)

GENERAL PROCEDURES FOR AGREEMENTS FOR ARIS AND AIMS

PROCEDURES FOR PREPARING SPECIFIC COOPERATIVE AGREEMENTS (SCA)

(Funds Going Out)
Forms

PROCEDURES FOR TRUST AND REIMBURSABLE AGREEMENTS

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PROCEDURES FOR STANDARD COOPERATIVE AGREEMENTS

NO-FUNDS TO ARS

SERVICES ONLY AGREEMENT

CRADA's

Extramural Agreements

Mid South Area Contact for Extramural Agreements:

Margaret Rushing
USDA, ARS, MSA
P. O. Box 225
141 Experiment Station Road
Jamie Whitten Delta States Building
Stoneville, MS 38776

662-686-5346
662-686-5373 (FAX)

mrushing@ars.usda.gov

Listed below are the types of Extramural Agreements with a brief definition of each:

Specific Cooperative Agreements (Funds Going Out): Agreements between ARS and another party that describe in detail a jointly planned, executed, and funded research project. Basically ARS contracts with another institution to do a job for us with respective institution cooperatively involved in completing the project. Requires AD-416/417 and ARS-550 entry in ARIS. AD-700 required to obligate funds.

Trust and Reimbursable Agreements: (Funds coming into ARS - an outside institution pays ARS to complete a project/job/grant.) Trust funds are monies received up front. Reimbursable agreements are billed in arrears by ARS for payment. Requires ARS 425 entry in ARIS if under $25,000. If over $25,000 requires AD-416/417/ and ARS-425 entry in ARIS.

Non-Funded Cooperative Agreement: Agreements between ARS and another party that describe in detail a jointly planned, executed project of mutual interest. All parties contribute resources and benefit independently in the outcome of the project. It is expected that ARS will commit resources, e.g., salaries, travel expenses, materials and supplies, etc., sufficient to support ARS' performance of the project. There is, however, no direct transfer of funding from ARS to the other party(ies). Requires AD-416/417 and ARS-550 entry in ARIS.

Standard Cooperative Agreement: Agreements that describe a cooperative relationship between ARS and another party that defines a mutually beneficial relationship relative to the use of land, labor, equipment, facilities, livestock, or other resources without there being an involvement of funds. The agreement provides that the owner may be made whole if the use damages the resources or other property of the owner. These agreements are used when conducting invasive research, e.g., spraying crops, etc., where a potential exists for damages to the owner's property or other resources. This agreement is executed at the Location level by the LAO (if a written delegation of authority has been issued).

No-funds to ARS: ARS scientist is co-investigator with university scientist on proposal; funds go the university. Requires ARS-425 entry in ARIS.

Services Only Agreement: ARS receives funds for rent, lease, administrative services, etc. no research involved. Requires ARS-425 entry in ARIS.

Cooperative Research and Development Agreements (CRADA's): Contact the following:

Don Nordlund, Technology Transfer Coordinator, Mid South and South Atlantic Areas
706-546-3496
dnordlund@saa.ars.usda.gov
or
Evelyn M. Rabin, Patent Adviser
301-504-4781
Evelyn.rabin@ars.usda.gov

General Procedures for Agreements for ARIS and AIMS (Agreements Information System)

1. Enter appropriate ARIS documents for each respective agreement.
2. Check for ARIS approval, when ARIS documents are approved, it will have the agreement number on ARIS document.
3. Once the ARIS documents are in the active ARIS file (approved), enter the AIMS documents (Hot Link provided on this website for AIMS Manual). This includes the Statement of Work (SOW) and budget information.
4. Once the ADODR has reviewed the AIMS documents, the ARIS user releases to the next level (each level will review and release).
5. Once released, E-mail the next level and cc Margaret Rushing (mrushing@ars.usda.gov) that the AIMS document has been released. E-mail subject line should say: "AIMS Control # _________ at your level.
6. If funds are outgoing (SCA), a signed AD-700 should be sent to Margaret Rushing through your LAO.
7. If incoming funds and there is a proposal, the proposal should sent to Margaret Rushing (either by E-mail or regular mail).
8. Blue packages are no longer necessary; E-mail whatever pertinent information that is not in the AIMS database to Margaret Rushing.

AIMS User Guide Website: http://www.afm.ars.usda.gov/agreements/AIMS.htm

Procedures for Preparing Specific Cooperative Agreement (SCA)

1. Lead Scientist provides information to Unit secretary to use in preparing the AD-416/417 and ARS-550 in ARIS to submit through Research Leader, through Area Director, to National Program Staff for approval.
2. After approval in ARIS, Lead Scientist prepares Statement of Work (SOW) outlining research project and what both ARS and Cooperator will provide. The SOW is entered in AIMS.
3. At the same time the SOW is entered in AIMS, the Budget Form 454 is also prepared in AIMS after discussions with Cooperator.
4. Once AIMS documents are approved by RL, they are released to the next level.
5. AD-700 is entered into CATS, signed by Fundholder, and sent to Margaret Rushing through LAO to obligate funds.
6. E-mail pertinent information not captured in AIMS to Margaret Rushing.

AIMS User Guide Website: http://www.afm.ars.usda.gov/agreements/AIMS.htm.

Example of Specific Cooperative Agreement

OBJECTIVE:
Automatically propagated from AD-416

APPROACH:
Automatically propagated from AD-416

STATEMENT OF MUTUAL INTEREST:
Both parties are actively engaged in independent research projects which identify new approaches ... **(Relate to project title).** The parties agree that meeting the objectives of this project will strengthen and enhance ongoing research within the scope of this agreement. **(Identify independent and mutual interest in the project).**

THE COOPERATOR AGREES TO:
1. Work closely with ARS in planning and conducting the research outlined below.
2. Conduct at Cooperator facilities and elsewhere as appropriate, research directed toward … activities include:
   a.
   b.
   c.
   (Outline specific duties and responsibilities necessary for successful completion of the project objective(s).

ARS AGREES TO:
1. Work closely with the cooperator in planning and conducting the research outlined above.
2. Conduct research on the following aspects of the project:

a.
b.
c.
(Outline specific duties and responsibilities necessary for successful completion of the project objectives).

MUTUAL AGREEMENTS:
Automatically propagated from AIMS information.

A SAMPLE SOW IS ALSO INCLUDED AS APPENDIX A OF THE AIMS USER GUIDE

Procedures for Trust and Reimbursable Agreements

1. The initial step for trust and reimbursable agreements is for the Lead Scientist to prepare the ARS-425 Form in ARIS. This is to be submitted through Research Leader, then to Area Director for monies under $25,000 for approval. If the amount is over $25,000 it is submitted through Research Leader, through Area Director, to National Program Staff for approval. Also for projects over $25,000 the AD 416/417 must be entered into ARIS after the ARS-425 has been approved by NPS.
2. After approval in ARIS, Lead Scientist prepares Statement of Work (SOW) in AIMS. (A separate SOW is not necessary if the Lead Scientist has submitted a statement of work as part of the proposal. If that is the case, the proposal statement of work must be provided to the Area Agreements Office.)
3. At the same time the SOW is entered in AIMS, the Budget Form 454 is also prepared in AIMS.
4. Once AIMS documents are approved by RL, they are released to the next level.
5. E-mail pertinent information that is not captured in AIMS to Margaret Rushing.

AIMS User Guide Website: http://www.afm.ars.usda.gov/agreements/AIMS.htm

Example of Trust and Reimbursable Agreements Over $25,000

OBJECTIVE:
Automatically propagated from AD-416.

APPROACH:
Automatically propagated from AD-416.

STATEMENT OF MUTUAL INTEREST:
Both parties are actively engaged in independent projects which … **(Relate to project title).** The parties agree that meeting the objectives of this project will strengthen and enhance ongoing work within the scope of this agreement. **(Identify independent and mutual interest in the project).**

THE SPONSOR AGREES TO:
1. Work closely with ARS in planning, conducting and evaluating the work outlined below.

(Use 2.a. if Agreement is a Trust Fund Cooperative Agreement)
(Use 2.b. if Agreement is a Reimbursable Cooperative Agreement)

2.a. Share in the cost of this work effort by contributing $ _________ payable to ARS, upon execution of this Agreement for the development of work described herein. **(If all funds are not received by ARS up-front, describe billing schedule and amount of**

each collection. Ensure final collection is disbursed and received prior to expiration of agreement.)

2.b. Reimburse ARS, for work performed, in accordance with quarterly payment requests provided to the Sponsor by ARS.

(Use 3.a. if Agreement is a Trust Fund Cooperative Agreement)
(Use 3.b. if Agreement is a Reimbursable Cooperative Agreement)

3.a. Cite Cooperative Agreement No. _______________, on all checks payable to the U. S. Department of Agriculture, Agricultural Research Service. Payment should be remitted to the Budget and Fiscal Office whose name and address can be found on Form ARS-451.

3.b. Cite Cooperative Agreement No. _______________, on all checks payable to the U. S. Department of Agriculture, Agricultural Research Service. Payment should be remitted to the address indicated on the invoice submitted to the Cooperator for payment.

4. Conduct at Sponsor facilities and elsewhere as appropriate, work directed toward accomplishing the cooperative efforts of the agreement. Such activities include:
a.
b.
c.
(Clause number 4 is applicable only if the Sponsor is going to perform and have specific duties and responsibilities necessary for successful completion of the project objective(s)).

ARS AGREES TO:
1. Work closely with the Sponsor in planning, conducting and evaluating the work outlined in this cooperative agreement.
2. Conduct work directed toward accomplishing the cooperative efforts of this agreement. Such activities include:
a.
b.
c.
(Outline specific duties and responsibilities necessary for successful completion of the project objectives).
3. Assign personnel, equipment, supplies, transportation, and facilities as needed to this cooperative effort. Such equipment and facilities will remain the property of ARS subject to this disposition.

MUTUAL AGREEMENTS:
Automatically propagated from AIMS information.

A SAMPLE SOW IS ALSO INCLUDED AS APPENDIX A OF THE AIMS USER GUIDE

Procedures for Non-Funded Cooperative Agreement

1. Lead Scientist provides information to Unit secretary to use in entering the AD-416/417 and ARS-550 in ARIS to be submitted through Research Leader, through Area Director, to National Program Staff for approval.
2. After approval in ARIS, Lead Scientist prepares Statement of Work (SOW) outlining research project and what both ARS and Cooperator will provide. The SOW is entered in AIMS.
3. Once AIMS documents are approved by RL, they are released to the next level.
4. E-mail pertinent information not captured in AIMS to Margaret Rushing.

AIMS User Guide Website: http://www.afm.ars.usda.gov/agreements/AIMS.htm

Example of Non-Funded Cooperative Agreement

OBJECTIVE:
Automatically propagated from AD-416.

APPROACH:
Automatically propagated from AD-417.

STATEMENT OF MUTUAL INTEREST:
Both parties are actively engaged in independent projects with … **(Relate to project title).** The parties agree that meeting the objectives of this project will strengthen and enhance ongoing research within the scope of this agreement. **(Identify independent and mutual interest in the project).**

THE COOPERATOR AGREES TO:
1. Work closely with ARS in planning and conducting the research outlined below.
2. Conduct at Cooperator facilities and elsewhere as appropriate, research directed toward selecting the most appropriate insects … activities include:
a.
b.
c.
(Outline specific duties and responsibilities necessary for successful completion of the project objective(s)).

ARS AGREES TO:
1. Work closely with the cooperator in planning and conducting the research outlined above.
2. Conduct research on the following aspects of the project.
a.
b.
c.

(Outline specific duties and responsibilities necessary for successful completion of the projected objective(s)).

MUTUAL AGREEMENTS:
Automatically propagated from AIMS information.

A SAMPLE SOW IS ALSO INCLUDED IN APPENDIX A OF THE AIMS USER GUIDE

Procedures for Standard Cooperative Agreements

1. Scientist should prepare Statement of Work (SOW) along with Form ARS-451.
2. This is accomplished with the RL's approval.
3. LAO as the Authorized Departmental Officer (ADO) will approve the Standard Cooperative Agreement after requesting an Agreement Number from the Area Office. (The LAO must have a written delegated authority in order to sign the Standard Cooperative Agreement.)
4. The Standard Cooperative Agreement is not entered in the ARIS or AIMS systems.
5. Copies of the agreement should be sent to the Area Agreements Office for review and filing.

Example of Standard Cooperative Agreement

Agreement No. ________________________

The United Sates Department of Agriculture, Agricultural Research Service, hereinafter referred to as ARS, and Mr. Gibb Carter, hereinafter referred to as the Cooperator, recognize that the results of evaluating seed yield of experimental strains of soybean will benefit the soybean industry of Mississippi as well as people of the United States of America.

In consideration of such mutual benefit, the parties hereto agree as follows:

A. The Cooperator Agrees:

1. To provide field space in 2006 for the purpose of yield trial testing soybean experimental strains that is 150 feet wide and 550 feet deep.

2. To grant ARS representatives such rights to enter the property as may be required for the conduct of the work (i.e., planting, weed control, note taking, harvest of plots).

3. To apply pre-plant herbicide to test area if weather and time constraints allow.

B. ARS Agrees:

1. To be responsible for conducting all phases of the work.

2. To document all yield loss sustained by the cooperator due to removing harvested seed to the research station for weighing, and unplanted alley-ways.

3. To exercise reasonable precautions to avoid injury to property of the cooperator furnished under A.1. above.

4. To use ground rigs only in any post-emergence weed control. No aerial applications will be made.

C. It is Mutually Understood and Agreed:

1. In the event of injury or damage resulting in loss the Cooperator as a result of research experiments being conducted by ARS, ARS will compensate the Cooperator in an amount determined to be just and reasonable and, where practicable, based on prevailing market prices or other generally accepted measurements or guidelines. The amount of such compensation shall be for the total loss sustained as determined by the Authorized Departmental Officer, and in any case, shall not exceed $1,000.00.

2. All rights, title and interests in an invention made under this Cooperative Agreement solely by an employee of ARS shall be owned by ARS. Any invention made jointly under this Cooperative Agreement by at least one employee of ARS and at least one employee of the Cooperator shall be jointly owned. Any invention made under this Cooperative Agreement solely by an individual employed by the Cooperator shall be owned by the Cooperator. However, ARS shall be entitled to use the results of the research conducted under this Cooperative Agreement in furtherance of U.S. Government research programs.

3. The responsibilities assumed by ARS are contingent upon funds being available from which the expenditures may be met.

4. This Cooperative Agreement may be terminated by either of the parties upon 90 calendar days notice in writing of one party to the other party.

5. The ADO has delegated ADODR responsibilities to the individual named on Page 1 of this Agreement subject to the limitations as provided for in the attached ADODR Designation and Instructions.

6. Copies of correspondence and documentation regarding this Agreement should cite Agreement No. ________________. Copies of such correspondence and documentation between the Cooperator and the ADODR shall be sent by the originating party to the ADO.

No-Funds to ARS

An ARS-425 Form should be prepared in ARIS. This is for proposals submitted by universities with all of the funds to be received by the University and ARS personnel acting as co-investigators for the proposal.

Services Only Agreement

An ARS-425 Form should be prepared in ARIS. This is when ARS receives funds for rent, lease, administrative services, etc., no research involved. Use the same procedures as described in the Reimbursable Agreement Section.

CRADA's

Should contact Don Nordlund, Technology Transfer Coordinator, 706-546-3496, dnordlund@saa.ars.usda.gov or Evelyn Rabin, Patent Advisor, 301-504-4781, Evelyn.rabin@ars.usda.gov .

CORRESPONDENCE

CORRESPONDENCE

Authorities for Preparation:

P&P 261.2, dated 2/8/91 (http://www.afm.ars.usda.gov/ppweb/261-02.HTM)
ARS Correspondence Manual M-261.2
(http://www.afm.ars.usda.gov/ppweb/261-02mch-1-2.htm)
U.S. Government Printing Office Style Manual, dated 2000, and
Word Division Supplement, dated 1987

Ordering Information:

United States Government Printing Office Style Manual, 2000
(Stock No. 021-000-00178-3)

Word Division, Supplement to the United States Government Printing Office Style Manual, 1987 (Stock No. 0231-000-00139-2)

For sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402

Government Printing Office catalog web-site (w/search): http://catalog.gpo.gov/F

Official ARS Stationery

See attached guidelines and example of the official letterhead.

Electronic letterhead can be used generated by your personal computer, but it must look exactly as the printed letterhead – no colors, black and white.

Order printed letterhead through the Area Procurement Office, Mid South Area, Stoneville, MS.

Copy Requirements

Official File Copy - Prepare an *official file copy* of all memos. The official file copy may be yellow or white. If a white copy is used as the official file, it must be clearly marked or stamped as the '**OFFICIAL FILE**' in the upper right hand corner of the correspondence.

In the Mid South Area, we urge you to use the Yellow Official File Copy for the subject files. The yellow subject file copy is easier to locate and identify, especially with the volume of E-Mail received.

Alphabetical File Copy - Alphabetical files are optional. In the Mid South Area, we urge you to use the Pink Alphabetical File Copy. It is a good cross-reference tool to use to locate the subject file copy.

Reading Files - Reading files or chronological files are optional. If desired, keep each piece of correspondence in a folder with a fastener at the top arranged with the most current date to the top.

Coding - All copies should be coded in the upper right hand corner. Coding notation in the upper right hand corner should agree on the pink, yellow, and reading copies.

Legends - With the varying types of printers available, offices may choose a method that allows for the efficient placement of the dictator's legend on correspondence. The ***ARS Correspondence Manual*** shows three examples. We use the following format in the Area Office:

ARS:ADO:TJArmy:sw:X5265:4-12-99:C:\WPDOCS\CORRES-PREP.WPD

Informal Letter or Memorandum

Top and bottom margins are about 2 inches.

Side margins are 1 inch.
On the second and succeeding pages, top, bottom, and side margins are one inch.

United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

November 9, 2004

SUBJECT: Example of Informal Letter

TO: Chief O. Staff, Mid South Area Office

FROM: Ima Secretary
Executive Assistant to the Area Director

This is an example of an informal letter that is less than 10 lines. Double space memos of one paragraph (10 lines or less). Single space the body of memos longer than one paragraph and double space between the paragraphs.

National Sedimentation Laboratory
598 McElroy Drive
P.O. Box 1157, Oxford, Mississippi 38655
Voice: 662 232-2901 • FAX: 662 232-2915 • E-mail: isecretary@ars.usda.gov

United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

November 9, 2004

FOR OFFICIAL USE ONLY

SUBJECT: Example of Informal Letter

TO: Chief O. Staff
Deputy Area Director
USDA, ARS, Mid South Area
P.O. Box 225
Stoneville, Mississippi 38776

FROM: Ima Secretary
Executive Assistant to the Area Director

This is an example of the informal letter using the "For Official Use Only" line. Information or records that are not for immediate public use shall be marked FOR OFFICIAL USE ONLY at both the top and bottom of each page. Further instructions are contained in Directive 253.2, For Official Use Only.

Note that the top caption is typed two lines below the date. The Subject line is typed three lines (triple space) below the For Official Use Only caption.

Type the bottom caption two lines below the last line on each page. If the caption falls above the middle of the page, place it below the middle of the page flush with the left margin.

cc:

S. Y. Scientist

FOR OFFICIAL USE ONLY

National Sedimentation Laboratory
598 McElroy Drive
P.O. Box 1157, Oxford, Mississippi 38655
Voice: 662 232-2901 • FAX: 662 232-2915 • E-mail: isecretary@ars.usda.gov

United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

November 9, 2004

SUBJECT: Example of Informal Letter with THROUGH Line

TO: Chief O. Staff
Deputy Area Director
USDA, ARS, Mid South Area
P.O. Box 225
Stoneville, Mississippi 38776

THROUGH: Head Mann
Area Director, Mid South Area

FROM: Ima Secretary
Executive Assistant to the Area Director

This is an example of the informal letter with the THROUGH line. A THROUGH line may be necessary if an official needs to concur with the memo before it is received by the addressee.

The THROUGH line is typed two lines below the last line of the TO block and the FROM line is typed two lines below the last line of the THROUGH block.

The *originating office* will forward the following package to the last THROUGH addressee:

a. Original, with enclosures and addressed envelope to the recipient. Prepare an envelope that is large enough to accommodate the package being sent.

b. “cc:” copies, with enclosures (if applicable) and addressed envelopes to the recipients.

c. Official file copy, with envelope addressed to the sender or secretary. This will be returned with a notation by the Area Office personnel as to the date the letter was mailed.

d. THROUGH copies, with enclosures (if applicable) and envelopes to the next THROUGH recipient (if applicable). Prepare an envelope that is large enough to accommodate the package being sent.

National Sedimentation Laboratory
598 McElroy Drive
P.O. Box 1157, Oxford, Mississippi 38655
Voice: 662 232-2901 • FAX: 662 232-2915 • E-mail: isecretary@ars.usda.gov

This example also shows the format to use when there is a reason to break a paragraph into subparagraphs. Subparagraphs may be lettered or numbered.

Please see pages 1-7 and 2-18 of the ARS Correspondence Manual for further guidance.

United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

November 9, 2004

FOR OFFICIAL USE ONLY

SUBJECT: Example of Informal Letter

TO: Chief O. Staff
Deputy Area Director
USDA, ARS, Mid South Area
P.O. Box 225
Stoneville, Mississippi 38776

FROM: Ima Secretary
Executive Assistant to the Area Director

This is an example of the basic informal letter. This style should be used for most daily communications of routine business within USDA and other Federal agencies.

Begin the date about two inches below the last line of the Agricultural Research Service line. Remember to triple space (two lines) after the date; double space (one line) between the Subject and To lines; double space (one line) between the To and From lines. Triple space (two lines) between the From line and the body of the memo.

Double space (one line) between paragraphs. Paragraphs are typed flush with the left margin.

When enclosures are identified in the text, type the word "Enclosure" flush with the left margin, two lines below the last line of the body of the memo. For more than one enclosure, indicate the number of enclosures.

FOR OFFICIAL USE ONLY

National Sedimentation Laboratory
598 McElroy Drive
P.O. Box 1157, Oxford, Mississippi 38655
Voice: 662 232-2901 • FAX: 662 232-2915 • E-mail: isecretary@ars.usda.gov

FOR OFFICIAL USE ONLY

Type the second and succeeding pages of a memo on plain bond paper the same quality as the first page. Starting with the second page, type the name of the addressee exactly as it is shown on the first page, six lines or one inch from the top of the page and flush with the left margin. Type the page number on the same line flush with the right margin. Continue the text two lines below the name of the addressee. Allow side margins of one inch and bottom margins of at least one inch.

4 Enclosures:
Mid South Area Secretarial Handbook
Plain Letters Pamphlet
ARS Correspondence Manual - 2 copies

cc:
H. T. Mann
S. I. Command
S. Y. Scientist

FOR OFFICIAL USE ONLY

Formal Letter

United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

November 9, 2004

<u>FOR OFFICIAL USE ONLY</u>

Dr. John Doe
Research Scientist
Fish Diseases and Parasites Research
P. O. Box 222
Auburn, Alabama 33333

Dear Dr. Doe:

SUBJECT: Example of Formal Letter

The formal letter is used for other than routine work or business transactions, when it is believed that the addressee might expect, or should receive, a more formal or personalized letter.

The style is used for communications with industry and others outside of USDA and other Federal agencies. It is also used when sending ARS employees letters of condolence, congratulations, or disciplinary actions.

This example shows the <u>FOR OFFICIAL USE ONLY</u> caption.

Sincerely,

IMA SECRETARY
Executive Assistant to the Area Director

<u>FOR OFFICIAL USE ONLY</u>

National Sedimentation Laboratory
598 McElroy Drive
P.O. Box 1157, Oxford, Mississippi 38655
Voice: 662 232-2901 • FAX: 662 232-2915 • E-mail: isecretary@ars.usda.gov

Controlled Correspondence

Controlled correspondence refers to correspondence with:

Office of the Secretary of Agriculture
Office of the Administrator, ARS
Congressional
Legislative Reports
White House

See the *ARS Correspondence Manual* for details.

Congressional Inquiries

Written replies to Congressional inquires, whether referred or by direct mail, must clear through supervisory channels to the ARS Correspondence Management Unit (CMU). Prepare a formal letter to the members of Congress using the Models of Address chapter of the *ARS Correspondence Manual*. **SEND these letters through the Area Director with a large brown envelope addressed to**:

Ms. Loureatha Gibson
USDA, ARS, CMU
George Washington Carver Center
Building 4, Room 2122B
5601 Sunnyside Avenue
Beltsville, MD 20250-0303

Official **telephone** conversations between ARS employees and Members of Congress and their staff must be documented and forwarded to the ARS Legislative Staff. It is imperative that all ARS employees document Congressional conversations.

References: P&P 125.3 - Documenting Official Congressional Conversations, dated 5/20/85
ARS Form 213 - Report of Congressional Conversation

The ARS Form 213 MUST BE SENT THROUGH THE AREA DIRECTOR.

Report of Congressional Conversation

Report of Congressional Conversation	Date of Conversation
	Time of Conversation

INSTRUCTIONS: As soon as possible after completing an official conversation, prepare ARS-213 and distribute as follows:
ORIGINAL - Administrator, Agricultural Research Service
Copies to - •Legislative Staff •Director, Budget and Program Management Staff
•File •Area Director – Field Offices ***ONLY***.

Conversed with – Name and Title of Individual; Congressional Representative's Name, State, and Office Phone Number.

Employee's Name, Title, and Location	Phone No.

Information Given

Action Recommended (If further action is required)

Instructions for ARS Form 213

SEND THE ARS FORM 213 THROUGH THE AREA DIRECTOR.

Assemble the form, with appropriate size envelopes, as follows:

Copy for Administrator:

Dr. Edward B. Knipling
Administrator
USDA, Agricultural Research Service
GWCC Building, Room 4-2122A
5601 Sunnyside Avenue
Beltsville, MD 20705

Copy for Legislative Staff Director:

Karen Pearce
Legislative Affairs Analyst
USDA, ARS, LS
Room 351-A, Whitten Building
1400 Independence Avenue, SW
Washington, D.C. 20250

Copy for Director, BPMS:

Mr. Joseph S. Garbarino
Director
USDA, ARS, Budget and Program Management Staff
Room 358-A, Whitten Building
1400 Independence Avenue, SW
Washington, D.C. 20250

Area Director:

Dr. Edgar G. King, Jr., Area Director
USDA-ARS Mid South Area
P. O. Box 225
Stoneville, MS 38776-0225

File copy to LD/LC/CD if applicable.

The entire package goes to the Legislative Affairs Analyst, so prepare a large brown envelope with their address.

Foreign Correspondence

The P&P 263.2, “Foreign Correspondence Dispatched to Communist Controlled Countries,” has been cancelled.

There are five countries, however, under U.S. embargo to which no material or correspondence may be sent without the permission of the Foreign Asset Control Board. These countries are:

Libya
Iran
Iraq
North Korea
Cuba

Individual ARS employees wishing to contact these countries or send material may contact the Asset Control Board, U.S. Department of Treasury, directly at 202-622-2500, fax 202-622-1657.

In past experience, the Board has permitted sending printed journal articles to Cuba and Iran, but not to the other countries. For further information, contact the ARS Office of International Research Programs on 301-504-4545.

Other than the above, foreign correspondence should be mailed directly from each office. See attached e-mail from Saida Malik.

From: Saida Malik [SMTP:ARSAFM-MD.WPOMSA.SMALIK@ars.usda.gov]
Sent: Monday, January 11, 1999 9:28 AM
Subject: Cancellation of P&P 263.2

P&P 263.2 - "Foreign Correspondence Dispatched to Communist Controlled Countries" has been canceled as of 12/22/98. There are, however, five countries under U.S. embargo to which no material or correspondence may be sent without the permission of the Foreign Asset Control Board, U.S. Department of Treasury. These countries are:

Libya
Iran
Iraq
North Korea
Cuba

Individual ARS employees wishing to contact these countries or send material, may contact the Asset Control Board directly on 202-622-2500: FAX 202-622-1657

In past experience, the Board has permitted sending printed journal articles to Cuba and Iran, but not to the other countries. For further information, you may contact Eric Rosenquist, National Program Staff, 301-504-5924.

Source: E-Mail from Saida Malik, dated 1/11/99, Cancellation of P&P 263.2

Electronic Communications

Electronic communications are used for transmitting correspondence when speed is important.

Information transmitted electronically is subject to the records and information management requirements; i.e., P&P 251.8, Records Management.

Access the REE Administrative Issuances (Directives, P&P, etc.) website at:

http://www.afm.ars.usda.gov/ppweb/ (with search capability)

Forms of Address

The following list shows the address element, salutation, and complimentary close, when used, for certain addresses.

Addressee	***Address on Letter*** ***Note: use DC (no periods) on the Envelope***	***Salutation and Complimentary Close***
THE WHITE HOUSE *The President*	*The President* *The White House* *Washington, D.C. 20500*	*Dear Mr., Madam President:* *Respectfully,* *or The President* *Respectfully submitted,*
Spouse of the President	*Mrs. (full name)* *The White House* *Washington, D.C. 20500*	*Dear Mrs., Mr. (surname)*
Assistant to the President	*The Honorable (full name)* *Assistant to the President*	*The Honorable (full name)* *Assistant to the President*
Former President	*Formal: The Vice President* *United States Senate* *Washington, D.C. 20510* *Informal: The Honorable (full name)* *The Vice President of the United States* *Washington, D.C. 20501*	*Dear Mr., Madam Vice President:* *Sincerely,* *Dear Mr., Madam Vice President:* *Sincerely,*
Former Vice President	*The Honorable (full name)* *(no title)* *(Local address) (Zip code)*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
Director, Office of Management and Budget	*The Honorable (full name)* *Director, Office of Management and Budget* *Washington, D.C. 20503*	*Dear Mr., Mrs., Miss, Ms. (surname):*
THE FEDERAL JUDICIARY *The Chief Justice*	*The Chief Justice* *The Supreme Court* *Washington, D.C. 20543*	*Dear Chief Justice:* *Sincerely,*
Associate Justice	*Justice (surname)* *The Supreme Court* *Washington, D.C. 20543*	*Dear Justice (surname):* *Sincerely,*
The Clerk of the Supreme Court	*The Clerk of the Supreme Court* *The Supreme Court* *Washington, D.C. 20543*	*Dear Mr., Mrs., Miss, Ms. (surname)* *Sincerely,*
THE CONGRESS *President of the Senate*	*The Honorable (full name)* *President of the Senate* *Washington, D.C. 20510*	*Dear Mr., Madam president:* *Sincerely,*

Addressee	***Address on Letter*** ***Note: use DC (no periods) on the Envelope***	***Salutation and Complimentary Close***
Speaker of the House of Representatives	*The Honorable (full name)* *Speaker of the House of Representatives* *Washington, D.C. 20515*	*Dear Mr., Madam Speaker:* *Sincerely,*
United States Senator	*The Honorable (full name)* *United States Senate* *Washington, D.C. 20510* *or* *The Honorable (full name)* *United States Senator* *(Congressional District Office address)* *(City) (State) (ZIP code)*	*Dear Senator (surname):* *Sincerely,*
United States Representative	*The Honorable (full name)* *House of Representatives* *Washington, D.C. 20515* *or* *The Honorable (full name)* *Member, United States House of Representatives* *(local address) (ZIP Code)*	*Dear Mr., Mrs., Miss, Ms. (surname):* *or* *Dear Congressman, Congresswoman (surname):* *Sincerely,*
Committee Chairman *Chairwoman* *Chair*	*The Honorable (full name)* *Chairman, Committee on (name)* *United States Senate* *Washington, D.C. 20510* *or* *The Honorable (full name)* *Chairman, Committee on (name)* *House of Representatives* *Washington, D.C. 20515*	*Dear Mr. Chairman:* *Madam Chairwoman:* *Chair:* *Sincerely,*
Subcommittee Chairman	*The Honorable (full name)* *Chairman, Committee on (name)* *(name of parent Committee)* *United States Senate* *Washington, D.C. 20510* *or* *The Honorable (full name)* *Chairman, Subcommittee on (name)* *(name of parent Committee)* *House of Representatives* *Washington, D.C. 20515*	*Dear Mr., Madam Chairman:* *Sincerely,*
Joint Committee Chairman	*The Honorable (full name)* *Chairman, Joint Committee on (name)* *Congress of the United States* *Washington, D.C. (ZIP code)*	*Dear Mr., Madam Chairman:* *Sincerely,*

Addressee	*Address on Letter* *Note: use DC (no periods) on the Envelope*	*Salutation and Complimentary Close*
Senator-elect *Representative-elect*	*The Honorable (full name)* *United States Senator-elect* *or* *Representative-elect* *(address, if given) or* *Care of the United States Senate or House of Representatives*	*Dear Senator-elect (surname)* *Sincerely,* *Dear Congressman-elect:* *Sincerely,*
Office of a Deceased Senator or Representative	*Office of the late Senator (full name)* *United States Senate* *Washington, D.C. 20510* *or* *Office of the Late Representative (full name)* *House of Representatives* *Washington, D.C. 20510*	*Sir: or Madam:* *Sincerely,*
Secretary of the United States Senate	*The Honorable (full name)* *Secretary of the Senate* *United States Senate* *Washington, D.C. 20510*	*Dear M., Mrs., Miss, Ms. (surname):* *Sincerely,*
Delegate	*The Honorable (full name)* *Delegate from (name)* *United States House of Representatives* *Washington, D.C. 20515*	*Dear Mr. Mrs., Miss, Ms. (surname):* *Sincerely,*
<u>*LEGISLATIVE AGENCIES*</u> *Comptroller General*	*The Honorable (full name)* *Comptroller General of the United States* *Washington, D.C. 20515*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
Librarian of Congress	*The Honorable (full name)* *Librarian of Congress* *Library of Congress* *Washington, D.C. 20540*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
Public Printer	*The Honorable (full name)* *Public Printer* *U.S. Government Printing Office* *Washington, D.C. 20401*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*

Addressee	***Address on Letter Note: use DC (no periods) on the Envelope***	***Salutation and Complimentary Close***
<u>*EXECUTIVE DEPARTMENTS*</u> *Cabinet Members*	*The Honorable (full name) Deputy Secretary of (name of Department) Washington, D.C. (ZIP code) or The Honorable (full name) Assistant Secretary of (name of Department) Washington, D.C. (ZIP code) or The Honorable (full name) Under Secretary of (name of Department) Washington, D.C. (ZIP code)*	*Dear Mr., Mrs., Miss, Ms. (surname): Sincerely,*
Postmaster General	*The Honorable (full name) Postmaster General Washington, D.C. 20260*	*Dear Mr., Madam Postmaster General:*
<u>*AMERICAN MISSIONS*</u> *American Ambassador*	*The Honorable (full name) American Ambassador (City) (Country)*	*Sir: Madam: (formal) Dear Mr., Madam Ambassador: (informal) Very truly yours, (formal) Sincerely, (informal)*
Personal (Special) Representative of the President	*The Honorable (full name) Personal Representative of the President of the United States of America to (Country) (City) (State/Country)*	*Dear Mr., Mrs., Miss, Ms. (surname): Sincerely,*
American Consul General or American Consul	*Mr. (full name) American Consul General (or American Consul) (City) (Country)*	*Dear Mr., Mrs., Miss, Ms. (surname): Sincerely,*
<u>*FOREIGN DIPLOMATIC MISSIONS*</u> *Foreign Ambassador in the United States*	*His (Her) Excellency (full name) Ambassador of (Country) Washington, D.C. (ZIP code)*	*Excellency:(formal) Dear Mr., Madam Ambassador: (informal) Very truly yours, (formal) Sincerely, (informal)*
Foreign Minister in the United States (head of a Legation)	*The Honorable (full name) Minister of (Country) Washington, D.C. (ZIP code)*	*Dear Mr., Madam Minister: Sincerely,*
Foreign Minister Counselor in the United States	*The Honorable (full name) Minister Counselor Embassy of (Country) Washington, D.C. (ZIP code)*	*Dear Mr., Madam Minister: Sincerely,*

Addressee	***Address on Letter Note: use DC (no periods) on the Envelope***	***Salutation and Complimentary Close***
<u>INTERNATIONAL ORGANIZATIONS</u> *United States Representative to the United Nations or Organization of American States*	*The Honorable (full name)* *United States Representative to the United Nations (or Organi- zation of American States)* *(City) (State) (ZIP code)*	*Sir: or Madam: (formal)* *Dear Mr., Madam Ambassador: (informal)* *Very truly yours, (formal)* *Sincerely, (informal)*
<u>STATE AND LOCAL GOVERNMENTS</u> *Governor of State*	*The Honorable (full name)* *Governor of (State)* *(City) (State) (ZIP code)*	*Dear Governor (surname):* *Sincerely,*
Lieutenant Governor	*The Honorable (full name)* *Lieutenant Governor of (State)* *(City) (State) (ZIP code)*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
State Senator	*The Honorable (full name)* *(State) Senate* *(City) (State) (ZIP code)*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
State Representative *Assemblyman* *Delegate*	*The Honorable (full name)* *(State) House of Representatives (or Assembly or house of Delegates)* *(City) (State) (ZIP code)*	*Dear Mr., Mrs., Miss, Ms. (surname):* *Sincerely,*
Mayor	*The Honorable (full name)* *Mayor of (City)* *(City) (State) (ZIP code)*	*Dear Mayor (surname):* *Sincerely,*

[1] i.e., last name.

[2] Use the Honorable unless the former President is entitled to another distinctive title (for example, military) and prefers to be addressed by it.   For example, General (full name); Dear General (full name) ; Dear General (surname).

[3] Dear Mr. Chairman is most commonly used; however, Madam Chairwoman and Chair are options.

[4] If the name of the late Senator's secretary or administrative assistant is known, the letter may be addressed to that person by name.

CORRESPONDENCE NOTES

- Letterhead: Be sure the letterhead is appropriate for the signer.

- Always use title (Dr., Mr., Mrs., Ms.) on letters.

- Do <u>not</u> abbreviate State name in the inside address. Always show the zip code in the address.

- Do <u>not</u> use titles on the TO: line in memos (To: Dr. John Doe – not acceptable).

- Double space the body of letters of one paragraph, 10 lines or less. Single space the body of letters longer than one paragraph.

- Acronyms: The first time referring to a word to be abbreviated, write it out with the acronym following in parentheses. For example, Agricultural Research Service (ARS); fiscal year (FY).

- Federal Government – always capitalized.

- State is capitalized when referring to States in the United States (State of Maryland; State, Federal, local). Do <u>not</u> capitalize when used in a general sense (state of mind; a foreign state).

- Dates – a comma is needed after the year when you have the complete date in a sentence (In your letter dated April 22, 2003, you requested information. . . . .). When only month and year are used in a sentence, <u>no</u> commas are used (April 2004).

- Agency is capitalized when referring to our Agency (ARS). When referring to other agencies, put in lower case.

- ARS' (not ARS's) when showing possession.

- We do <u>not</u> use "the Department" in outgoing correspondence. The USDA acronym is to be used.

- Comma (,) before "and" when there is a series of three (time, money, and measurement).

- Keep time together on same line – 12:15 p.m., not 12:15
p.m.

- "Web-site" is hyphenated, not "website"

- "E-mail" is hyphenated, not "email"

- "Agencywide" is one word, not "Agency wide"

- Try to avoid typing part of a personal name at end of sentence. If you must divide name, title, first name, and middle initial should be on the same line.

- We are the Agricultur<u>**al**</u> Research Service, not the Agriculture Research Service

- Period and other punctuation goes inside the quotation marks. For example: David was walking down the street and said, "I am tired."

COMMONLY MISUSED WORDS

Affect, Effect
"Affect" is a verb. It means "to change" or "to influence". "Effect" can be a verb or a noun. As a verb, it means "to cause"; as a noun, it means "a result".

Aggravate, Irritate
To "aggravate" is "to add to" something that is already troublesome; to "irritate" is "to annoy".

Allude, Elude
You "allude" to "make reference to" a book; you "elude" or "run away from" someone who is chasing you.

Among, Between
Use "among" when more than two are involved: use "between" when you are comparing two persons, places, or things.

And/or
A shortcut that looks and reads bad can lead to confusion or ambiguity. Avoid using "and/or" whenever possible.

Anybody, Anyone
"Anybody" is written as one word when it refers to "any person". "Any body" as two words means "any corpse" or "any group." The same is true for "everybody," "nobody," and "somebody". "Anyone" means anybody; "any one" means "any single person" or "any single thing".

Assure, Ensure, Insure
To "assure" is to "speak confidently" about something; "to ensure" is "to make sure" or "to make certain"; "to insure" is "to protect something against loss or damage with an insurance policy".

Being
"Being" is not needed after "regard" in sentences such as, "he was regarded as being the best". A better way of phrasing this thought is, "he was regarded as the best".

Can, May
"Can" means "able to"; "may means "permit".
"Can I leave work early?" means --- "Am I able to leave to work early?" --- "Is all my work done?" --- "Are my legs strong enough to carry me away?"
"May I leave work early?" means "May I have permission to go home?"

Compare to, Compare with
To "compare to" is "to point out the similarities in different things". For example, "life can be compared to a rat race". To "compare with" is "to point out the difference between similar things". For example, "rat races can be compared with rush hour traffic".

Data
Like "media" and "phenomena", "data" is plural. It refers to more than one fact or piece of evidence.

Commonly Misused Words

<u>Disability, Handicap</u>
A “disability” is a physical or emotional impairment. A “handicap” occurs when a person cannot overcome his/her disability.

<u>Farther, Further</u>
“Farther” has to do with distance. “Further” can be used to indicate distance, and it can also mean to “to promote” or “to advocate”.

<u>Fewer, Less</u>
“Fewer” refers to numbers. “Less” refers to quantity.

<u>Finalize</u>
“Finalize” can mean either “to terminate” or “to put into final form”. Try to avoid using “finalize” since it is overused and pretentious. Instead, use “finish” or “complete”.

<u>Gratuitous, Gratuity</u>
“Gratuitous” means “undeserved” or “unearned”. A “gratuity” is a “tip for services rendered”.

<u>Hopefully</u>
“Hopefully” used to mean “with hope”; now it means “I hope”, and it drives grammarians into fits of rage. They reason that if you write “hopefully, you will write your proposal on time” then you do not know whether you hope to write your proposal on time or you will write an optimistic proposal.

<u>I, Me</u>
When our parents heard us say, “Bob and me played baseball,” they told us to say, “Bob and I.” To determine which is appropriate, read the sentence without the other person’s name.

<u>Imply, Infer</u>
“To imply” is “to suggest or indicate without expressing exactly what you want to say”. For example, “he implied that we were going to get a raise”. “To infer” is “to reach a conclusion from the evidence at hand”. For example, “based on what he said, we can infer that a raise will be coming”.

<u>Irregardless</u>
“Irregardless” is not a word. The correct word to use is “regardless”.

<u>Its, It’s</u>
“Its” is the possessive form of the word “it”. It means something belongs to the particular place or thing “it” stands for. For example, “this car is more expensive because its upholstery is leather”. “It’s” is the contraction for “it is”. For example, “it’s a dark colored leather”.

<u>-ize</u>
Many good verbs end in “-ize”. Therefore, we should not add this suffix to other verbs.

<u>Like, As</u>
Except as a term of affection, “like” has to do with comparison. For example, “that was not like him”. “As” can be used in comparisons. For example, “the two were equally as efficient”.

Commonly Misused Words

Plan Ahead
Would you ever "plan behind"? Just "plan" is sufficient.

Reason is because, Reason is that
"Reason is because" is redundant. "Reason" and "because" both deal with the cause. "Reason is that" is correct.

Secondly, Thirdly
You would not say "firstly". Therefore, use "first", "second", and "third".

Try to, Try and
To "try to" is "to attempt". "To try and" implies that two separate actions are taking place.

Unique
Unique means "without equal". Therefore, do not use "most unique" or "very unique".

FILES, RETENTION and DISPOSITION

Prepared by: Marlene Coley
MID SOUTH AREA
Replaces: October 2005

FILE MANAGEMENT BASICS

APRIL 2006

Prepared by: Marlene Coley
MID SOUTH AREA
Replaces: October 2004

CONTENT

AUTHORITIES

FILES MANAGEMENT

Authority for Preparation is the ***ARS Files Management Guidebook***, dated June 1985.

To order the ***ARS Files Management Guidebook***, contact (?????), ARS Mailroom, at 301-504-5129, Fax 301-504-5855

RECORDS MANAGEMENT

The authority for records management is **P&P 251.8**, Records Management.

Access the REE Administrative Issuances (Bulletins, P&P's, etc.) website at: http://www.afm.ars.usda.gov/ppweb/ (with search capability).

From this P&P on the web-site you can link to the *General Records Schedule*. The authority to dispose of files is the *General Records Schedule*. The *General Records Schedule* is a National Archives and Records Administration (NARA) document. Access the *General Records Schedule* from the ARS, AFM, Information Technology Division, Records Management Home Page at: http://www.archives.gov/records-mgmt/ardor/records-schedules.html

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BASIC FILE RETENTION AND DISPOSITION

BUDGET – Current plus 5 years (in case of 5-year review).

CORRESPONDENCE – Current plus 5 years (unless we think we need it or want to keep for samples).

CRIS PROJECTS – 5 years

PROGRESS REPORTS AND PLANS – Current plus 5 years (in case of 5-year review).

PURCHASE ORDERS – Current plus 2 years.

PATENT INFORMATION – Current plus 5 years (unless we think we need it or want to keep for samples).

STATUS OF FUNDS – Current plus 2 years.

T&As – Hard Copy – Current plus 6 years (this should include backup documentation; e.g., leave slips).

T&As – Disk Copy – 26 Pay Periods

TRAVEL (DOMESTIC) – Current plus 6 years.

TRAVEL (FOREIGN) – Current plus 6 years.

TRAVEL AUTHORIZATIONS – Current plus 6 years.

TRAVEL VOUCHERS – Current plus 6 years.

TRAINING FORMS – Current plus 3 years (what MSA Personnel Office does).

The Excel spreadsheet is a guide based on the ARS File Management Guidebook. Use what you need; you will not file everything that is listed. Many of the entries that have blank destroy dates do not have a date shown in the Guidebook or it says "Disposition pending NARS approval". You will have to use you own judgment because there is no other documentation that clearly states how long to keep the information.

When you destroy records, shredding is the best method, especially for any documents containing financial, budget, personnel, research, etc.,

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A good rule of thumb to use in disposing of files is as follows:

Budget documents, such as ARMPS – 5 years
Real Property documents – 10 years
Accountable documents – 10 years

Except as listed above, most files are kept 3 years – the most current year (active files) plus the two previous years.

Throw nothing away on program agreements, projects (active or inactive), etc., without asking Research Leader.

PREPARATION OF FOLDERS

<u>Coding Material</u>

<u>Alphabetic Name File (Pink Copy)</u>
The Pink Copy is filed alphabetically by name of addressee and is used to locate records when we can remember the name of the addressee, but not the subject or

where we coded the material. The subject is coded in the upper right corner of the copy and coding matches the yellow file copy coding. Multiple mailings (letter addressed to more than one correspondent) will be filed in chronological order, latest date to the top, in a special folder labeled, “MULTIPLE MAILINGS.”

Subject File (Yellow Copy)

The Yellow Copy is filed according to subject and is the subject folder file copy. All background and/or incoming correspondence is filed with the yellow copy. The subject is coded in the upper right corner of the copy and the coding matches the pink file copy coding.

Case Files

Case files contain material relating to a subject that is not included in the numeric outline in the guidebook. You need only to case file topics that apply to your unit. For example, under the subject “Research,” we case file as follows:

RESEARCH (RES)
- Aquaculture
- Animals
- Crops – Cotton
- Crops – Bt Cotton
- Crops – Forage
- Insects – Termites
- Insects – Bees

Files Index

A Files Index should be prepared after you have set up your files and updated as the files are changed.

The Files Index should be inserted at the front of the Alphabetic file folders.

As you code material, use the Files Index to guide you.

Example is included.

Subject – Numeric File System

The Subject-Numeric File system is a subject classification system. Selected subjects are arranged in alphabetical order and subdivisions are numeric. The ARS system has 36 primary subject headings. We have added an additional subject heading for Homeland Security.

Prepare folders only for subject headings actually used.

ASSOCIATIONS AND SOCIETIES (ASN)
AUDITS, INVESTIGATIONS, AND REVIEWS (AUD)
AUTHORIZATIONS (ATZ)
AUTOMATED DATA PROCESSING (ADP)
BUDGET (BUD)
COMMITTEES (COM)
COMMUNICATIONS (CMN)
COOPERATION (COP)
ENERGY CONSERVATION (ERG)
ENVIRONMENTAL QUALITY (ENV)
EQUAL EMPLOYMENT OPPORTUNITY (EEO)
FINANCIAL MANAGEMENT (FIN)
HOMELAND SECURITY (HLS)
INFORMATION-PUBLIC RELATIONS (INF)
INFORMATION RESOURCE MANAGEMENT (IRM)
INTERNATIONAL (INT)
LEGAL AND LEGISLATION (LEG)
MANAGEMENT (MGT)
MEETINGS (MTG)
ORGANIZATION AND REORGANIZATION (ORG)
PATENTS (PAT)
PERMITS (PMT)
PERSONAL PROPERTY (PRP)
PERSONNEL (PER)
PROCUREMENT AND CONTRACTING (PRC)
PROGRAM AGREEMENTS (PAG)
PROGRAM MANAGEMENT/STRATEGIC PLAN IMPLEMENTATION (PMS)
PROGRAM PLANNING AND REVIEW (PPR)
PROJECTS (PRJ)
PUBLICATIONS (PUB)
RADIOLOGICAL SAFETY (RAD)
REAL ESTATE-REAL PROPERTY (REA)
RECORDS MANAGEMENT (REC)
REPORTS-STATISTICS (RPT)
REPRODUCTION AND DISTRIBUTION (REP)
RESEARCH (RES)
TRAVEL AND TRANSPORTATION (TRV)

Preparation of Folders

SECTION 4

Preparation of File Folder Labels, Guide Cards, and Drawer Labels

Proper labeling is a very important part of a well managed and efficient filing system. Labels act as signposts, speeding the filing and retrieving of records (see Figure 4-1, page 17).

1 File Folders. The folder labels will contain the following information:

a Folder subject title.

b Name of the case file (if any).

c Period covered by the folder (fiscal year [FY], calendar year [CY]).

d File disposition authorized in the approved Records Control Schedule, DIRECTIVE 251.8.

The subject title will appear exactly as it appears in the File Outline (see Exhibit 2). Each folder label will be typed and attached to the folder in the format described below.

2 Placement of Folder Labels. There are three areas on the folder tab where a label may be placed: the left-hand corner, center, and the right-hand corner.

a Left-Hand Corner. This label will contain the folder subject title in the following format:

FINANCIAL MANAGEMENT(FIN) 14-2
Payrolls
Time and Attendance Reports

b Tab Center. This label will contain only the name or number of the case file.

Doe, John

c Right-Hand Corner. This label will contain the time period covered by the folder and the disposition information.

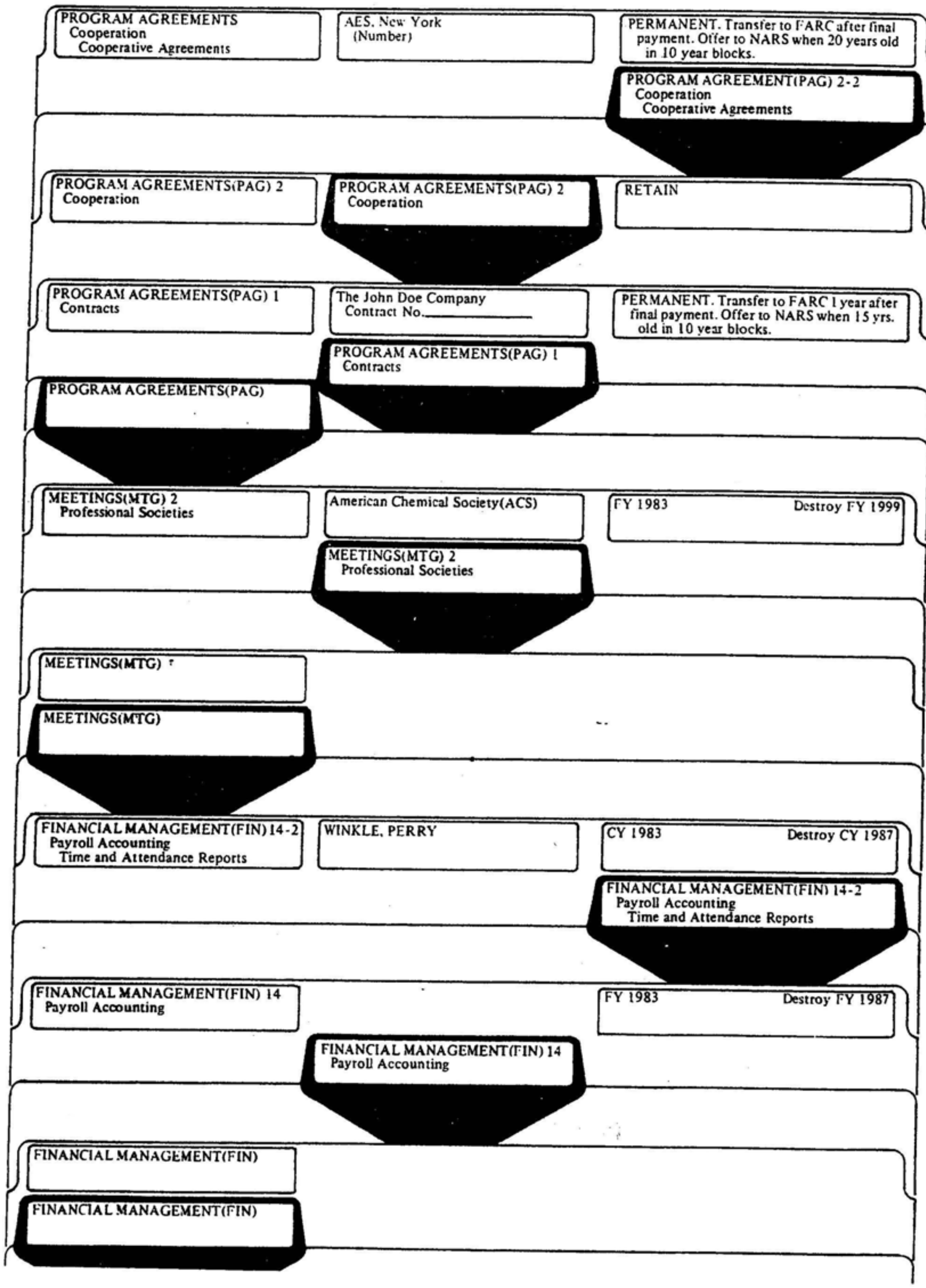
CY 1983 Destroy CY 1987

3 Guide Cards. Guide cards are used as a finding media for various file segments and to separate groups of files contained in the same file drawer. On the average, there should be no more than 6-10 guide cards per full file drawer. The label on the guide card should clearly show the nature of the folders which follow (see Figure 4-1).

4 Drawer Labels. Label the front of each file drawer to show the drawer contents.

FIGURE 4-1

GUIDE CARDS AND FOLDERS



File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
Associations and Societies	(ASN)
Audits, Investigations, and Reviews	(AUD)
Authorizations	(ATZ)
Automated Data Processing	(ADP)
Budget	(BUD)
Committees	(COM)
Communications	(CMN)
Cooperation	(COP)
Energy Conservation	(ERG)
Environmental Quality	(ENV)
Equal Employment Opportunity	(EEO)
Financial Management	(FIN)
Homeland Security	(HLS)
Information-Public Relations	(INF)
Information Resource Management	(IRM)
International	(INT)
Legal and Legislation	(LEG)
Management	(MGT)
Meetings	(MTG)
Organization and Reorganization	(ORG)
Patents	(PAT)
Permits	(PMT)
Personal Property	(PRP)
Personnel	(PER)
Procurement and Contracting	(PRC)
Program Agreements	(PAG)
Program Management/Strategic Plan Implementation	(PMS)
Program Planning and Review	(PPR)
Projects	(PRJ)
Publications	(PUB)
Radiological Safety	(RAD)
Real Estate-Real Property	(REA)
Records Management	(REC)
Reports-Statistics	(RPT)
Reproduction and Distribution	(REP)
Research	(RES)
Travel and Transportation	(TRV)

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
A	
Abstracts …………………………………………….... ….	INF 9
Accidents, Employee ……………………………… ….	PER 21-1
Accidents, Motor Vehicle ……………………….. ….	REA 5
Accomplishments of ARS ………………….…..…..	PUB 2
Accomplishments of Management Unit ………….	RES
Acting –in-Charge Personnel ……………………….	PER 1
Addresses ……………………………………... ….	CMN 1
Administrator's Council Meetings ………………….	COM 4-1
Adverse Actions …………………………………….	PER 8-3
Affirmative Action Planning ………………………..	EEO 1
"Agricultural Research" Magazine …………………	PUB 4-1
Airline Schedules ……………………………………	TRV
Animals ………………………………………..…….	RES 10 – Animals
Animal Care Use Committee ………………………	COM
Animal Manure …………………………………….....	RES 10 – Animals
Animal Waste ……………………………………….	RES 10 – Animals
Annual Reports ……………………………….. …	REP
Applications for Jobs …………………………… …	PER 19
Appropriations ………………………………….... …	BUD
Aquaculture …………………………………….…… …	RES 10 – Aquaculture
Area Reserve ………………………………….….	BUD 2-2
ARIS ………………………………………..……......	ADP
ARMPS / ARMS …………………………….…….	BUD 5-2
ARS Fellowship Program ……………….……... …	PER 25-11
Audio / Visual Aids ……………………………..…….	INF 1
Audits, Organizational …………………………….	AUD
Audits, Personnel ………………………………….	PER 4
AWARDS	
Contract ……………………………..... …	PRC 5
Employee ……………………………… …	PER 7-1
Incentive ………………………………. …	PER 7-2
Length of Service ……………………….. …	PER 7-3
Letters of Commendations/Appreciation. …	PER 7-4
Memorials/Tributes ……………………… …	PER 7-5
Outside ………………………………… …	PER 7-6
Suggestions ……………………………. …	PER 7-7
B	
Beef / Forage / Livestock …………………..………	RES 10 – Animals
Bees ……………………………………………….… …	RES 10 – Insects
Bid Lists…………………………….……………… …	PRC 12-1
Bioinformatics …………………………………… …	RES 10
Biological Control ………………………………... …	RES 10
Boll Weevils ……………………………………... …	RES 10 – Insects
Break-ins, Building ……………………………… …	REA 3-2

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
Building Repairs ……………………………………..	REA 2
C	
Case Write-ups ………………………………………	PER 16-2
Catfish ………………………………………………..	RES 10
Catalogs/Price List ………………………………..	RC 12-2
Ceilings, Personnel ……………………………….	BUD 4-1
Ceilings, Travel ……………………………….…….	BUD 4-2
Charge Card ………………………………………..	TRV 1
Charges, Discipline ……………………………..….	PER 8-3
Chemicals …………………………………………….	INF 3
Civil Rights …………………………………………..	EEO
Collaborators ………………………………………..	PER 9
Committees	
Internal …………………………………..……….	COM 4-9
National …………………………………..……..	COM 4-10
Regional …………………………………………	COM 4-11
Community Activities ……………………………….	PER 6
Competitive Grants …………………………………	PAG 5-2
Complaints and Criticisms ………………………..…….	PER 8
Computers …………………………………………….	ADP
Conference Calls ……………………………….…….	CMN 7-2
Conflict of Interests ……………………………..…….	PER 8-2-1
Congratulations – Commendations ……………..…....	PER 7-4
Congressional Calls ……………………………..….....	CMN 2
Congressional Proceedings ………………………..….	BUD 7
Construction Projects …………………………........	REA 2-1
Contracts ……………………………………………..….	PAG 1
Cooperative Agreements ………………………….	PAG 2-2
Cotton ……………………………………………..….	RES 10 – Cotton
Counselors / Counseling, EEO ……………………..	EEO 2
Court Attendance ……………………………….…….	PER 5
Criminal Actions ……………………………….….	LEG 3-2
CRIS ………………………………………….….…….	PRJ 1
Crops …………………………………………………..	RES 10 – Crops
D	
Damage to Building / Land ………………………….	REA 3
Demonstrations ………………………………….……..	INF 4
Demotions ……………………………………………....	PER 18-1
Design and Construction …………………….……….	REA 2-1
Details, Work ……………………………………..…….	PER 18-2
Discipline ………………………………………………	PER 8-3
Dismissal for Hazardous Weather ………….……….	PER 24
Displays ………………………………..…………..	INF 4

File Designations - A Quick Reference Guide To Code Filing

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
High Priority Needs Requests ………………………	BUD 2-2
Hiring ……………………………………………….....	PER 19
Hotel Reservations ……………………………….….	TRV
House Hearings ……………………………..……….	BUD 7
I	
Information Technology ………………………..…..	ADP
Injury, Employee ………………………………….…..	PER 21-1
Inquiries, Personnel …………………………………	PER 9-1
Insects ……………………………………….…... ….	RES 10 – Insects
Insurance …………………………………….…... ….	PER 2
Inventions ……………………………………….….. ….	PAT
Inventories ……………………………….…….… ….	PRP 1-2
Itineraries, Travel ……………………………... ….	TRV 10
J	
Job Descriptions ……………………………………..	PER 4-5
Judges for Science Fairs …………………………….	INF 4
K	
L	
Laboratory Director / Research Leader……………..	ORG 1
and Location Coordinator Appointments ………......	Mid South Office
Land / Building ………………………………………..	REA
Lapse Salary Funds …………………………………	BUD 2-2 – Lapse Salary
Leases, Land ………………………………..……...	REA 6
Leave (General)………………………………..….....	PER 12
Leave Audits, Records ……………………..……….	FIN14-2
Lectures …………………………………………..….....	INF 19
Letterhead ……………………………………………	REC 5-2
LOTS ………………………………………………….……	FIN
M	
Magazine Articles ……………………………..……..	INF 8
Mail costs ……………………………………..……….	REC 6-5
Mail License ……………………………………...........	REC 6-8-1
Mail Lists ………………………………………… ….	REP 2
Maintenance of Buildings / Land ……………………	REA 7
Management Unit Accomplishments ………………	RES
Manuscripts ……………………………………….….	INF 9
Memorandum of Understanding ……………………	PAG 2-3
MODE Code …………………………………………..	ORG 6
Modeling ………………………………………………	RES 10 – Modeling
N	

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
National Program Staff Appointments ……………..	ORG 1-8
Natural Products …………………………………….	RES 10
Newsletters ………………………………………..	INF 16-1
Newspaper Clippings ………………………………	INF 8
Notification of Personnel Actions ………………….. Chronological File	PER 13

O

Occupational Health Maintenance Program……….	PER 21-5
Offers of Employment ………………………………..	PER 19-7
Office Space ………………………………………..	REA 12
OSQR …………………………………………………	PRJ
Outside Work ………………………………………..	PER 8-2-4
OECD Fellowships …………………………………..	PER 25-11
Organizational Charts……………………………….	ORG 8-1

P

Parking ………………………………………………..	REA 12
Passports and Visas …………………………………	TRV 3
Patents ………………………………………………..	PAT
Pay Charts ……………………………………………	PER 14-2-1
Payroll ………………………………………..........	FIN 14
PCMS …………………………………………………	PRC 8
Peer Review – OSQR ……………………………….	PRJ
Performance Evaluations …………………………..	Per 15-1
Performance Standards …………………………….	PER 15-5
Photographs / Pictures ……………………………..	INF 1
Pilot Tests …………………………………………….	RES 10 – Pilot Tests
Plans, drawings & specifications …………………..	REA 2-1
Position Descriptions ………………………………	PER 4-5
Position Organizational Listings …………………….	PER
Poultry ………………………………………………..	RES 10
Postage Meter ……………………………………….	REC 6-8
Precision Agriculture ………………………………..	RES 10
Press Releases ……………………………………..	INF 10
Program Agreements ……………………………….	FIN 15
Program Redirections ………………………………	ORG 11
Program Reviews ……………………………………	PAG 5
Project Plans …………………………………………	PRJ 1
Promotions …………………………………………..	PER 18
Prospectuses …………………………………………	PRJ 1
Public Relations ……………………………………..	INF 6
Purchase Orders …………………………………….	PRC 8-1
Purchasing ……………………………………………	PRC 8

Q

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
Quarantine	RES 10 – Quarantine
Quarterly Reports to Congress	PUB 2
Quarters, Rental Rates	REA 9
R	
R&M Releases	BUD 2-2
RPES (Research Personnel Evaluation System)	PER 16-2
Recommendations	PER 19-7
Recruitment	PER 19
Reductions-in-Force	PER 13
Regional Projects	COM 4-11
Reorganizations, Agency	ORG 1
Repairs, Building	REA 2
Reports	REP
Research	RES
Research Apprenticeship Program	PER 25-11
Research Associate Program	PER 9-4-3
Research Leader Appointments	ORG 1 - Mid South Area
Research Leader Meetings	MTG 3
Research Personnel Evaluation System (RPES)	PER 16-2
Resignations	PER 23-3
Retirements	PER 23-4
S	
SAMS	FIN
Safety and Health, Employee	PER 21
Safety Reports / Inspections	PER 21-7
Salary Lapse	BUD 6 – Lapse Salary
Science Fairs	INF 4
Seminars	INF 19
Senate Hearings	BUD 7
Senior Executive Service	PER 25-11
Signs and Bulletin Boards	REA 11
Slides	INF 1
Soil, Water and Air	RES 10 – Soil, Water & Air
Soybeans	RES - Soybeans
Space	REA 12
Speeches	INF 19
Staff Meetings	MTG 3
State Agricultural Experiment Stations	COP 8
Strategic Plan	RES
Sugarcane	RES 10 – Sugarcane

T

File Designations - A Quick Reference Guide To Code Filing

Subject	Designation
T&A Information ……………………………………..	FIN 14-2
Talks ……………………………………………….	INF 19
Teachers Research Fellowship Program …………	PER 25-11
Telecommunications ………………………………..	CMN 7
Telephones …………………………………………	CMN 7-2
Termites ……………………………………………..	RES 10
Thrift Saving Plan …………………………………..	PER 2
Tour of Duty ………………………………………	PER 24
Training …………………………………………….	PER 25
Transfers, Employee ………………………………	PER 23-6
Travel and Transportation Accounting …………...	FIN 18
Travel Authorization ………………………………	TRV 9-1
Travel Cards ………………………………………	TRV 1
Travel Itineraries ………………………………….	TRV 10
Travel Vouchers …………………………………..	FIN 18-1
Trip Reports ……………………………………......	TRV 12
U	
USDA Newsletter ………………………………….	PUB 9-9
Utilities ………………………………………………	REA 13
V	
Vacancies ………………………………………….	PER 19-12
Variety Releases ………………………………….	RES 10 – Variety Releases
Vehicles …………………………………………….	PRP 4
Vehicle Reports…………………………………….	PRP 6-1
Visas and Passports ………………………………	TRV 3
Visiting Scientists ………………………………... ….	PER 25-11
Visitors …………………………………………….	INF 20
Vouchers, Travel ………………………………….	FIN 18-1
W	
Wage Grade Rates ………………………………..	PER 14
Water and Sewerage ……………………………..	REA 13
Websites ………………………………………….….	ADP
Weeds ……………………………………………..….	RES 10 – Weeds
Withholding, Salary ……………………………….	PER 14
Word Processing ………………………………….	ADP 6-1
Work Details ……………………………………….	PER 18-2
Working Hours …………………………………….	PER 24
XYZ	
Year-End Funding …………………………………......	BUD 2-2

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
AUDITS, INVESTIGATIONS AND REVIEWS (AUD)		3 yrs after case is closed
2	Internal (Audits, Investigation, & Review)	3 yrs after case is closed
AUTHORIZATIONS (ATZ)		
	Delegations of Authority	Retention periods vary according to subject. See Record Control Sheets
AUTOMATED DATA PROCESSING (ADP)	**(COMPUTERS/SOFTWARE/EQUIP)**	
	Information Technology	
	PDA (Palm Pilots, Blackberries, etc.	
	Websites	
1	ADP Facilities	
2	ADP Security	
3	Technology	
7	Automated Systems	
8	Equipment-Hardware (Computers)	
12	ARIS	
	12-15 Research Unit Files	
14	Software	
BUDGET (BUD)		
	Correspondence	5 years
1	Appropriation - FY 2005	
1	Appropriation - FY 2006	2 years after close of FY
1-1	Continuing Resolutions	3 years
2	Budget Execution	6 years
2-1	Allocations	6 years
2-1	Allocations – Advice of Allocation of Funds, AD-705	6 years
2-2	Allotments and Authorizations	6 years
2-2	AD Reserve	6 years
2-2	Emergency Needs Request	6 years
2-2	High Priority Needs Requests	6 years
2-2	R&M Releases	6 years
2-2	Salary Lapse Retention	6 years
2-2	Year-End Funding	6 years
2-4	Fund Transfers	5 years
2-4-1	CRIS Projects Processed	5 years
2-4-2	Program shifts	5 years
3	Budget Preparation and Submission	5 years
5	Financial and Operating Plans	5 years
5-2	Annual Resource Management Plans (ARMPS)	5 years
6	Fund Availability	
6-1-1	Status of Funds	3 years
7	Hearings (Ag Committee Appropriations Bills and Hearings)	3 years
7-1	Briefing Papers	2 years
9	Special Requests	
9-3	Construction proposals	5 years
9-4	Extramural Proposals	5 years
COMMITTEES (COM)		3 years after committee ends
3	Financial records	3 years
4	Records Created by Committees	Primary transfer to NARA
4-1	Administrators Council	3 years
4-2	Advisory Committees	1 yr after termination
4-6	Hse Appropriation Committee	3 years
4-10	National Committees	
	NACOP-National Advisory Council for Office Professionals	3 years
4-11	Regional committees	
	MSACOP-Mid South Area Council for Office Professionals	Primary Files - Transfer to NARA 6 years* Other Office 3 years
6	Safety Committee	5 years

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
COMMUNICATIONS (CMN)	(General - correspondence, reports)	2 years
1	Addresses	When superceded
2	Congressional Calls (ARS Form 213; Lists of Congressional Representatives)	
3	Communications Systems	
3-1	Electronic Mail	Treat as hard copies and filed under subject headings
5	Radio Frequency	1 year after disposal of material
5-1	Equipment Inspection Record	3 years
7	Telecommunications	3 years
7-1-2	Equiment Requests	1 year
7-1-4	Statements	3 years
7-2	Telephones	1 year
7-2	AD Weekly Teleconference	1 year
7-2	Wireless – cell phones	1 year
7-2-4	Equipment Requests	1 year
7-2-5	Statements	1 year
8	Postal Records	I year
9	Mail & Delivery Service Control Files	1 year
10	Meter Mail (Reports and Related Papers)	6 years
COOPERATION (COP)		**NA**
1-4	Cooperative State Research Service (CSRS)	
1-11	Extension Service ES)	
2	Delta Branch Experiment Station (DBES)	
6	International Activities	
8	State Agricultural Experiment Station (SAES)	
10	1890 Institutions – Alcorn, Southern University, Tuskegee	
EQUAL EMPLOYMENT OPPORTUNITY (EEO)		
1	Affirmative Action Planning	4 years
1-1	Disabled Veterans Affirmative Action Program Plan	3 years
3	Discrimination in EEO Maters	4 years
	Compliance Records	7 years
3-1	Age	4 years
3-3	Handicap	4 years
3-4	Race	4 years
3-7	Sex	4 years
4	Discrimination Complaints	4 years
4-1	Case files	4 years
5	EEO Advisory Committee	3 years
5-1	Workforce Diversity Committee	
6	Federal Women's Program	4 years
9	Special Observances	4 years
	Black History Month	3 years
	Hispanic Program	3 years
	Womens History Month	3 years
FACILITIES SECURITY AND PROTECTIVES SERVICES RECORDS		
1	Homeland Security	
	Continuity of Operations Plans (COOP)	Until superceded
3	Survey and Inspection Files - Gov Facilities	3 years
5	Investigative Files	2 years
7	Guard Assignment Files (Ledger Records)	3 years after final entry
8	Police Function Files	3 years
10	Key Accountability	6 months after turn-in of key
11	Visitor Control Logs	2 years after final entry
21	Emergency Planning Case Files	3 years after issuance of a new plan or directive
22	Emergency Operations Tests Files	3 years
24	Electronic Mail	180 days after record keeping copy is produced
FINANCIAL MANAGEMENT (FIN)		
	LOTS	3 years
	SAMS	3 years

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
6	6-5 Vouchers/Invoices	3 years
7	7-8 Letters of Credit	3 years
12	Monthly Operating Reports (Status of Funds)	3 years
13	Obligated Funds	3 years
13-1	Estimated Obligations	3 years
14	Payroll Accounting	3 years
14-1	Salary Changes	3 years
14-2	Time and Attendance Reports	7 years
14-2	Leave Audits, Records	7 years
18	Travel and Transportation Accounting (General)	3 years
18-1	Vouchers – Travel	7 years
INFORMATION-PUBLIC RELATIONS (INF)		3 years
	Current Awareness Literature Search (CALS)	
	ARS Libraries (NAL)	
	DigiTop	
	Earth Day	
	Economic Impact	
	Points of Light Initiative	
	REE Weekly Report to the Secretary	
	Sensitive Issues	
	Location Brochures	Until replaced
1	Audiovisual	
1-1	Photos, Slides, Negatives, etc. relative to research/publications	Offer to NARA when no longer needed or 5 years old
1-2	Photos for awards, meetins, special occassions	When no longer needed
1-3	Graphic Arts - Handbills, Flyers, Posters, Letterhead, Other	When no longer needed
1-4	Films/Videos from Outside Source for Personnel & Mgt. Training	1 year after completion of training
1-5	Surveillance Footage	6 months old
1-6	Video Tapes from Outside Source for Personnel & Mgt. Training	
4	Exhibits, Ceremonies, Community, Projects, Science Fairs, Field Days	
5	Freedom of Information	2 years after date of reply
7	Invitations-Engagements	
8	Magazine Articles and Newspaper Clippings	When no longer needed for reference
9	Manuscripts and Abstracts - **General Correspondence**	5 years
9-1	Active	Until published - send copy to NAL
9-2	Reprint Master File	Copy on file - until no longer needed
9-3	Requests for Editing and Approval	5 years after reprint
9-4	Review of outside manuscripts	1 year
10	Press Releases, News Clippings	3 years
13	Public Inquiries	3 years
13-3	Requests for Technical Research Information	15 years
16	Publications Issued by ARS	
16-1	Newsletters	Most 1 year
19	Speeches-Seminars, Lectures	5 years
20	Visitors, Representatives, Guests	3 years
LEGAL AND LEGISLATION (LEG)		
	Policies and Procedures Covered Under This Heading	When no longer needed for Admin purposes
	Liability for Federal Employees	NA
MEETINGS (MTG)		
2	Professional Societies	3 years or when no longer needed for reference
3	Staff Meetings	3 years or when no longer needed for reference
3-4	Research Leader's Mtg.	3 years or when no longer needed for reference
4	Technical	1 year or when no longer needed for reference
4-1	Beltwide Cotton Conference	1 year or when no longer needed for reference
7	Delta Council	1 year or when no longer needed for reference
ORGANIZATION AND REORGANIZATION (ORG		Most - 3 years or when superseded or obsolete
	REE Advisory Board	
	Reinventing Government Initiative	
	Office of Risk Assessment	
1	Agricultural Research Service	
	ARS Customer Service Plan	

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
	Location Closures	
1-1	Agricultural Research Service - Mid South Area	
1-8	National Program Staff	
3	Designations and Functions	
3	Designations and Functions - National Technical Advisors	
6	MODE Code Listings	
8	Organization and Reorganization	3 years or when superseded or obsolete
11	Reorganization	When superseded or obsolete
11	Program Redirections	
PATENTS (PAT)		
1	Abandoned Patents	17 years after abandonment of patent
3	Granted Patents	17 years after issuance of patent
5	Licenses	Destroy upon cancellation of license or expiration of patent
PERSONAL PROPERTY (PRP)		
1	Accountability	2 years
1-2	Inventories	After new list is received & reconciled
1-3	Loan Agreements (borrowing/loaning property)	3 years after termination of agreement
3	Excess Property	3 years
4	Motor Vehicles (correspondence)	2 years
4-1	Accidents	2 years after case is closed
4-3	Authorization to store	Destroy when canceled
4-4	Inspections	1 year after vehicle leaves ARS custody
4-6	Maintenance and Repair	1 year after vehicle leaves ARS custody
6 6-1	Reports on Motor Vehicles	3 years
8	Surplus Property	2 years
PERSONNEL (PER)		
	Personnel Correspondence	3 years
1	Authorizations (Acting)	When superceded
2	Benefits (Day Care, Thrift Savings, Insurance, etc.)	3 years
3	Biographical Sketches	3 years
4	Classification and Duties	When superceded or obsolete
4-3	Classification Standards	5 years after position is abolished or superseded
4-5	Position Descriptions	2 years after position is abolished or superseded
5	Court Attendance	3 years
6	Employee Activities (CFC, Blood Donations,Savings Bonds, etc.)	3 years
7	Employee Awards and Commendations	2 years
7-3	Length of Service and Sick Leave	1 year
7-4	Letters of Commendation and Appreciation	2 years
8	Employee Relations	3 years
8	Employee Relations – Cooperative Resolution Program (CRP)	
8	Employee Relations – Ethics Reform Act of 1989	
8-1	Appeals and Grievances	3 years
8-2	Conduct and Responsibilities	When superseded or obsolete
8-2-4	Outside Work	2 years after separation of employee
8-3	Disciplinary and Adverse Actions	4 years after case is settled (Office of Primary Responsibility)
9	Employment (Correspondence and Proposals)	3 years
	Collaborators	
9-4-3	Research Associate Program	5 years
10	I.D. Cards	3 months after I.D. returned
12	Leave	1 year
14	Pay Administration	3 years
14-2	General Schedule	3 years
14-3	Deductions	3 years
14-4	Name and Record Changes	2 years
15	Performance Evaluations	3 years
15-5	Performance Standards	3 years
15-6	Ratings and Appraisals	3 years
16	Personnel Management	3 years
16-2	Research Personnel Evaluation System (RPES) (Case file in alphabetical order - pending and complete)	After revised RPES
17	Position Resource Management	5 years

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
18	Promotions and Internal Placement	3 years
18-1	Demotions	3 years
18-2	Details and Assignments	3 years
19	Recruitment	3 years
	ARS Hiring Freeze/Ceilings	
	Career Enhancement Program	
	Personnel Demonstration Project	
	SY Vacancy and Tracking	
19-1	Personnel Inquiries	3 years
19-2	Applications	
19-3	Certificate of Eligibles	2 years
19-7	Offers of Employment	Destroy after appointment is made
21	Safety and Health	5 years
21-1	Accidents and Injury	5 years
21-4	Employee Assistance Program (EAP)	3 years
21-5	Occuplational Health Maintenance Program	5 years
21-7	Safety / Health Inspections	5 years
22	Security Clearances	2 years
23	Separation and Displacement	3 years
23-1	Death	3 years
23-3	Resignation	3 years
23-4	Retirement	3 years
23-6	Transfers	3 years
	Tours of Duty (Flexitime, Maxiflex, Job Sharing,	
24	Home Work, Dismissals/Closings for Hazardous Weather)	3 years
25	Training and Development	3 years
25-2	Career Development and Planning	2 years
25-3	Fellowships	2 years
25-9	Training Courses and Seminars	When superseded or obsolete
25-11	Training Programs	4 years
25-11	ARS Fellowship Program	4 years
25-11	Ethics	4 years
25-11	Foreign Research Associates	4 years
25-11	Human Resource Management Program	4 years
25-11	OECD Fellowships	4 years
25-11	Path to Leadership Program	4 years
25-11	PEAK Program	4 years
25-11	Research Apprenticeship Program	4 years
25-11	Senior Executive Service (SES)	4 years
25-11	Student Employment Program	4 years
25-11	Teachers Research Fellowship Program	4 years
25-11	Visiting Scientists	4 years
PROCUREMENT AND CONTRACTING (PRC)		
	Competitive Sourcing – FAIR Act Inventory	
8	Procurement (General Correspondence)	2 years
8	Intra Mall Initiative	
8	PCMS	4 years
8-1	Requisition/Purchase Orders	3 years
9	Procurement Guidelines	2 years
9-4	Furniture	2 years
9-5	Office Machine Maintenance	2 years
12	Suppliers/Contractors	2 years
PROGRAM AGREEMENTS (PAG)		
1	Contracts (Correspondence)	2 years after final settlement
2	Cooperation	
2-2	Cooperative Agreements	5 years after final settlement
2--3	Memorandum of Understanding	5 years after final settlement
5	Grants	5 years after final settlement
5-2	Competitive Grants	5 years after final settlement
5-3	Domestic Grants	5 years after final settlement

Code	Description		Destroy (All Other offices)
5-4	Foreign Grants		5 years after final settlement
5-4	Foreign Grants - Scientific and Technical Exchange Program		5 years after final settlement
6	Program Compliance		
	PROGRAM PLANNING AND REVIEW (PPR) (Policy & Procedures)		2 years
5	Program Reviews		3 years unless needed for current activity
	PROJECTS (PRJ)		
	Peer Review Process – Office of Scientific Quality Review (OSQR)		
1	Current Research Information System (CRIS)		5 years after termination of project
1-1	Dropped or Rejected Proposals		5 years after termination of project
1-3	Project Case Files		2 years after termination of project
1-4	Project Control Files		Destroy upon completion or cancellation of project
1-5	Laboratory Notebooks by Research Workers		25 years or no longer needed
	Annual Report		Filed with Project
2	Pending CRIS Projects		Destroy pending copy when signed copy is received
5	Review of Outside Projects		1 year
	PUBLICATIONS (PUB)		**Keep current + 1 year**
2	Accomplishments of ARS		
2	Accomplishments of ARS - Quarterly Reports to Congress		
3	ARS News Notes		
4	Agency Publications		
4-1	Agricultural Research		
9	Department Publications		
9-9	USDA Newsletter		
9-10	Mid South Area Weekly Report		
17	Outside Publications		
20	Strategic Plan		
	REAL ESTATE-REAL PROPERTY (REA		
1	Acquisition		
2	Construction, Alterations, and Major Repairs		
	Proposed projects:		5 years
	Completed projects:		When no longer needed for administrative purposes
2-1	Design and Construction - Permanent		Offer to NARS when no longer needed for current activity
	Routine repair & modification		When no longer needed for further repair or maintenance activities
3	Damage and Protection		
3-2	Security of real estate - real property		3 years - Guard Records; correspondence - 1 year
4	Flag Display		2 years
6	Leases	>10,000	6 years after termination (regional offices) Other offices - 1 year
		<10,000	3 years after termination (regional offices) Other offices - 1 year
6-1	Space utilization		2 years after termination of assignment
7	Maintenance, Inspection, and Preservation Buildings		2 years
7-6	Fire equipment / fire drill inspections		3 years
7-8	Repair and maintenance requests		3 months after work is performed
11	Signs and Bulletin Boards		2 years
12	Space, Field Space, Parking		2 years
13	Utilities and Service (Security, Parking)		2 years
	RECORDS MANAGEMENT (REC)		
2	Correspondence		3 years
3	Directive Management		3 years
4	Files Management		3 years
5	Forms Management		3 years
6-5	Mail Costs		3 years
6-8	Postal Meters		3 years
8	Records Disposition (Correspondence)		3 years
8-3	Records Control Schedule		Until superseded
	REPORTS-STATISTICS (RPT)		
	Hot Issues		
1-1	Activitty Reports		3 years

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
4	Congressional Reports	
REPRODUCTION AND DISTRIBUTION (REP)		
1	Copier Management	1 year
1-1	Inventories	2 years after next inventory
RESEARCH (RES)		**Most Research Files should be kept 3 years or longer as needed**
	ARS Strategic Plan	
	Federal Coordinating Council for Science, Engineering & Technology (FCCSET)	
	Food Quality Protection Act (FQPA)	
	Lower Mississippi Delta Nutrition Intervention Research Initiative (NIRI)	
	Mississippi Delta Management Systems Evaluation Area (MDMSEA)	
	National Agricultural Research, Extension, Education, and Economic Advisory Board (NAREEE)	
	National Plant Genetics Resources Board	
	REE Advisory Board	
6402	STONEVILLE, MS	
	Application and Production Technology Research Unit	
	Catfish Genetics Research Unit	
	Cotton Ginning Research	
	Crop Genetics and Production Research Unit	
	Jackson, TN - Nematology Research	
	Biological Control of Pests Research Unit	
	Southern Insect Management Research Unit	
	Southern Weed Science Research Unit	
6404	POPLARVILLE, MS	
	Small Fruits Research Unit	
6406	MISSISSIPPI STATE, MS	
	Crop Science Research Laboratory	
	Corn Host Plant Resistance Research Unit	
	Genetics and Precision Agriculture Research Unit	
	Waste Management and Forage Research Unit	
	Poultry Research Unit	
6408	OXFORD, MS	
	National Sedimentation Laboratory	
	Upland Erosion Processes Research Unit	
	Channel and Watershed Processes Research Unit	
	Water Quality and Ecology Research Unit	
	Natural Products Utilization Research Unit	
6413	BATON ROUGE, LA	
	Honey Bee Breeding, Genetics, and Physiology Research	
	Soil and Water Research	
	Pennington Biomedical Research Center	
6420	AUBURN, AL	
	Aquatic Animal Health Research Unit	
	Soil Dynamics Research	
	Chestertown, MD - Aquatic animal Health Research Unit	
6435	NEW ORLEANS, LA	
	Southern Regional Research Center	
	Commodity Utilization Reseach Unit	
	Cotton Structure and Quality Research Unit	
	Cotton Chemistry and Utilization Research Unit	
	Food and Feed Safety Research Unit	
	Food Processing and Sensory Quality Research unit	
	Formosan Subterranean Termite Research Unit	
	Houma, LA - Sugarcane Research Unit	
	Tucson, AR - Food & Feed Safety Research Unit	
6440	LEXINGTON, KY	
	Forage-Animal Production Research Unit	
6445	BOWLING GREEN, KY	
	Animal Waste Management Research Project Unit	
10	Subjects (case filed)	

FILE MANGEMENT

Note: 3 years = current + 2
7 years = current + 6

Code	Description	Destroy (All Other offices)
	Aquaculture	
	Animals	
	Animal Care & Use Committee	
	Catfish	
	Livestock	
	Poultry	
	Crops **(Folders for other crops as needed)**	
	Blueberries	
	Cotton	
	Soybeans	
	Sugarcane	
	Forage	
	Corn	
	Insects **(Folders for other insects as needed)**	
	Bees	
	Boll Weevils	
	Boll Weevil Eradication Program	
	Formosan Subterranean Termite (FST)	
	Genetic Resources Database	
	Germplasm	
	Global Change	
	Integrated Farm Management Systems (IFMS)	
	LMRV Watershed Program	
	Modeling	
	Nanotechnolgy	
	Ornamental/Nursery Research	
	Pesticide Application Technology	
	Pilot Tests	
	Plant Patenting	
	Precision Agriculture	
	Quarantine	
	Remote Sensing	
	Rural Development	
	Soil, Water, and Air	
	Sustainable Agriculture	
	Technology Transfer	
	TMDL's	
	Transgenic Plant Varieties	
	Variety Releases	
	Weeds	
11	Drought Conditions	
TRAVEL AND TRANSPORTATION (TRV		
1	Travel Card	4 years
3	Passports and Visas	5 years
9	Travel Authorizations	6 years + 3 months
9-1	Domestic	6 years + 3 months
9-2	Foreign - Foreign Travel Plan	6 years + 3 months
10	Travel Plans/Itineraries	1 year
12	Trip Reports	2 years

FINANCIAL

FINANCIAL
Annual Resource Management Plan System (ARMPS)

ARMPS is a web-based system used annually to manage the unit's resources for each fiscal year, which is October 1 through September 30.

The ARMPS program and data will reside on the ARIS server at Beltsville and be accessed through ARIS. The screens and reports are basically the same as the PC-based ARMPS. Operational differences include navigation between screens and use of the mouse similar to ARIS and SAMS.

Improvements to ARMPS:

- Web-based
- Drop-down menus
- User-friendly search
- No function keys
- Automated functions
- No diskettes
- New versions installed from headquarters
- Backups handled centrally
- Centralized database with security

Preparation:

In the month of May each year, arrange a preliminary ARMPS planning session with the RL. LAO will notify secretary when to begin entering new FY into ARMPs (late May-early June).

1. Obtain next FY Guideline Dollars for each CRIS from the Briefing Packet in ARIS. The Budget and Fiscal Officer for the Area will notify you when next FY Guidelines are available)

2. Collect request from staff for next FY:
   Travel, meetings (cities, dates), rough estimate of costs
   Purchases of equipment and supplies
   Utilities (vehicle operating costs)
   New positions, promotions and awards (& bonuses), status of vacancies, retirements, financial incentives (recruitment)
   Training
   Facilities Agreements--Specific Cooperative, CRADAs, grants, RSAs, hourly labor, graduate students, etc.
   Apprenticeships, interns, STEP
   Permanent fund transfers
   Space allocations
   Assign % employee time (FTE) to CRIS
3. LAO provides:

Salaries
Indirect and shared research costs
Schedule for ARMPS Reviews with due dates for first, second, and final drafts of ARMPS

4. AD, CD, and AAO provide:
   Policy, instructions, and due dates for ARMPS process

5. State of the Management Unit (MU) and/or State of the Location
   Written by RL (Or LD/LC/CD), with input from scientists

6. Enter all data into ARMPS via the ARIS Program. Guidance may be obtained from the LAO and staff.

7. Print first draft and proofread for correct entry. Forward to RL. RL may make changes and return it for the changes to be entered in ARMPS.

<u>Next FY Guideline Dollars - Briefing Packet, ARIS</u>

Guideline Dollars using BRIEFING PACKET
From ARIS screen, select Research Documentation
From Research Documentation screen, select Reports
From the drop down box, select Briefing Packets, then Mode Code 3
Enter your Research Unit Mode Code, e.g. 64 08 05
Check the box by Next FY Guidelines (D type only)
Click the Run Report box
Report will appear on screen in PDF format. Click Print button, then OK.

*Some locations will need to choose Mode Code 4, and enter Unit Mode Code, e.g., 64 08 05 30.

Credit Cards, Purchasing

PURCHASE CARD Web-site
http://www.nfc.usda.gov/corporate/PCMS.htm
Departmental Regulation DR 5013-006 Use of Purchase Card and Convenience Checks dated 2/13/2003 located at web-site http://www.ocio.usda.gov/directives/files/dr/DR5013-006.pdf

Government Purchase Card

Cardholder Requirements
Permanent ARS employees
Demonstrate need within micro procurement realm
- Nominated by fundholder to PAO
- Successfully complete ARS study guide, receive visa video training
- Receive NCAUR guideline training, apply and receive warrant, apply for card

Approving official must complete all training
Does not need warrant or card
Procurement integrity requirements:

Purchase Card and Checks are to be used for:
- Small purchase needs (under $2,500)
- Subject to all federal, department, and agency procurement laws, regulations, and directives

Purchase Card and Checks are not to be used for:
- Gasoline credit card
- Credit card for traveling (Government Travel Card)
- For personal use of the cardholder
- For obtaining cash advances

System Controls
Cardholder/Check Writer
Spending Limits
- Single Purchase Limit – approved limit cannot exceed $2,500
- 30 Day Limit – total of all charges incurred in one calendar month--Set by RL

Justification waiver codes for checks written to individuals
Checks must have Tax ID number or Social Security number of payee.

How the Process Works for over the Counter Purchases
Cardholder presents card to vendor for payment
Vendor follows authorization procedures for credit cards
Cardholder checks sales total and signs sales receipt
Cardholder returns to office with merchandise and receipt
Cardholder records purchases on credit card purchase log.
Vendor processes sales receipts with their bank; full payment received by vendor NLT next business day

ALL ITEMS PURCHASED BY TELEPHONE MUST BE DELIVERED BY THE VENDOR WITHIN 30 DAYS. THE ORDER SHALL NOT BE PLACED WITHOUT THIS ASSURANCE FROM THE VENDOR.

PCMS Reconciliation

Who is involved?
- Cardholder
- National Finance Center

Reconciliation Procedures

CARDHOLDER
- Open PCMS on-line reconciliation program.
- Review charges to determine that all purchases are correct.
- Enter accounting code for each purchase made.
- Enter a description of each purchase.
- Enter Credit Card Log No. in “Comments” and “Agency Ref. Number” sections for LAT’s reference.
- Distribute charge among all accounting codes.
- Verify that any credits due for returned purchases are reflected on the statement.
- At the present time, it is not required that Budget Object Classification Codes be changed in PCMS.
- Keep all supporting documentation and attach to your credit card reconciliation report.

Card Security

Cardholder is responsible for safeguarding the card at all times.
Do Not permit anyone to use your card or account number.

Credit Card Procurement Cycle

1. Requirement identified

2. Cardholder:
    a. Identifies source of supply
    b. Phones in order or completes order form and completes log
    c. Receives material and delivers to requesting employee
    d. Retains shipping documents
    e. Reconciles PCMS on-line statement

Sample Credit Card Purchase Log **Exhibit No. 1**

CREDIT CARD PURCHASE LOG

CARDHOLDER NAME: ____

REQUISITION NUMBER	ORDER DATE	VENDOR	DESCRIPTION	QTY	UNIT PRICE	TOTAL COST	DATE REC'D	REMARKS	DATE RECONCILED

Purchase Requisitions AD-700

AD-700s (requisitions)--assign number to AD-700:

Example: 1-6402-320-00001-01

1 = Fiscal year (FY) 2001

6402 = location

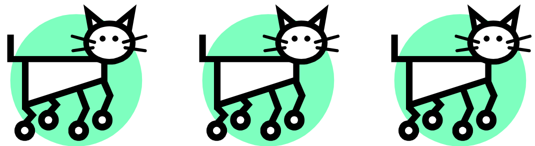
320 = management unit (MU)

00001 = number assigned sequentially to each AD-700 and/or expense

01 = number of line items on AD-700

Record AD-700 into AD-700 Log (computerized or paper) by recording:

AD-700 number assigned
Vendor
Dollar amount
Description of item
CRIS #
Date ordered
Type of expense
Credit card or purchase order number (when received from procurement)
Date item(s) received



CRIS Allocation Tracking System (CATS)

SECTION I

AD700 TO PROCUREMENT

DATA ENTRY:

Click **'New Purchase Request'**

- **Select the correct MU and Sub Account numbers from the drop-down menu.**
  - For those who charge to **Soft Fund Accounts or have multiple account assignments**, you will select the correct MU from the Drop-Down Menu.
- Click **'CAPS LOCK'.**

In **'Short Description'**:

- Type in a specific, yet condensed, description of item(s) ordered. *(This is the only descriptive information the Research Leaders/Fundholders will see on the Status of Funds.)*
- Click **OK**

***Across the top are Tabs:** '**GENERAL**', '**DETAIL**', '**ACCOUNTING**', '**NOTES**', 'PROCUREMENT'

** (You won't use the PROCUREMENT tab).

GENERAL Tab:

- In the REQUESTING OFFICE block, enter the Preparer's last name.
  - **Ex**: **HORTON**
  - If you are ordering for someone, we recommend that you enter their last name/your last name.
    - **Ex**: **MORRIS/HORTON**.

(Information only):

- The **Date** defaults to the 'current date'. *You may change to the Date of Order*.
- The **Ship To** defaults to '141 Experiment Station Road'. *You may change this, if necessary.*
  - (This address is linked in CATS with the Receiving Office number, 4431)
    - **Example of address change**: ***USDA, ARS, NBCL, 59 LEE ROAD, STONEVILLE, MS, 38776***.

(Keep in mind, this is where the shipment will be delivered).

Click DETAIL tab:

- Enter a complete description of item(s),
  - Include Item number(s), where applicable
  - List items to be ordered by Line Item.

Note: To add two (2) or more Line Items, click NEW ITEM and follow the same steps.

- Select a specific BOC from the Drop Down Menu
- Enter UNIT ISSUE - bxs, cs, ea, job, ord, etc. (holds up to (3) characters)
- Enter QUANTITY
- Enter UNIT PRICE

Note: **You must complete all blanks before CLOSING; otherwise, the system will prompt you.**

AD700 TO PROCUREMENT (cont'd)

- Click CLOSE

Note: To EDIT, click on the DETAIL tab, double click on the respective Line Item and make the changes.

(Information only):

- REQUIRED DELIVERY (Block 23) defaults to two weeks from date of AD700. *You may edit as needed.*
- FOR ADDITIONAL INFORMATION CONTACT defaults to preparer's name and phone number.
  - *If ordering for someone else, this contact information may be changed.*
    - **Procurement or the vendor may have a question about the order and need this contact information.**
- Enter the ESTIMATED FREIGHT (Block 26).

Click ACCOUNTING tab:

- Shows the MU and Sub Account numbers to be charged.
  - *If needed,* this is where you would **split an order between CRIS/Sub Accounts**
    - Double click on the MU line
      - At CATS - Account:
        - Click New Account
        - Select the correct MU and Sub Account.
        - Adjust amount by Acct Lines and Sub Account:
          (1) Click Acc Line 2 and enter amount for new sub account;
          (2) Go back to Acc Line 1 to adjust dollar amount to balance the AD700 total on the original CRIS/Sub Account. (The unallocated total should equal $0.)
        - Click CLOSE.
- RECOMMENDED SOURCES:
  - Click 'Vendors'.
    - Select the appropriate MU title and accounting code by highlighting.
      - *If needed, select from the drop-down menu.*
    - In AVAILABLE VENDORS block, begin typing the vendor's name. (first 3 characters)
      - (If the vendor's name is listed, it should pop towards the top of the list)
        - If listed, click EDIT VENDOR to check the Contact and Address information for complete accuracy. **(Procurement requires this information).**
      - If the name is not listed, click ADD NEW.
        - If the appropriate MU title is not highlighted, for that specific vendor, click on the drop-down arrow to select the correct MU number.
        - Complete the **Contact Information** as completely as possible.
          - **(Procurement requires this information).**
        - Click OK.
    - Re-type the vendor's name in the AVAILABLE VENDOR block.
      - Highlight your selection from the vendor's list.
        - Click the left arrow to move the vendor's name(s) to the SELECTED VENDOR'S block. You may select more than one vendor where

needed; i.e. orders $2500 or more, needing at least three sources and/or if not a sole-source.

- **Select multiple vendors, if sources are required, following the same steps**.
- Click OK.

Click NOTES tab:

- Enter any information in the Request Notes that would be helpful to Procurement or any internal notes for your use.
  - **Ex**: "RUSH DELIVERY", "QUOTES ATTACHED", etc.
- USER FIELDS are used to run selective User Field Reports. You may use all fields.
  - **Ex 1.:** If you're working on a specific project and you want to track the expenses. You may establish a keyword i.e., code, title, name for the USER FIELD(s) or
  - **Ex 2.:** If you need to track SY CRIS dollars, by scientists, etc.
- You may also edit the SHORT DESCRIPTION on this screen.
- Click SAVE (Wait for REQUISITION NUMBER, it is system-generated.)
- Click OK.
- Click PRINT to PREVIEW for errors or necessary changes.
  - If changes are needed, click CLOSE. Go back into form to edit.
    - Click SAVE after all changes are complete, then PRINT. (Follow the Print steps below)
  - If no changes are required, click on the printer to PRINT.
    - PRINT at least two (2) copies. (Extra copies may be printed as needed.)
      - The ORIGINAL and one copy (with signature of RL/fundholder) and all required attachments are forwarded to the Location Support Office for processing.
- Click CLOSE.

****ONLY AFTER PRINTING THE COMPLETED REQUISITION:**

- Click the NOTES tab. In the Request Status block, click APPROVAL REQUESTED (The RL/fundholder has to approve the AD700 in CATS).
- SAVE; CLOSE.

APPROVAL IN CATS:

(for *Approvers/Designated Approvers ONLY)*

- After the AD700 is received and signed, the Approver follows these steps:
  - Data Entry
  - Requisition Approval
  - Select Management Unit
  - Highlight requisition number
  - Under REQUEST STATUS, select APPROVE
    - Click SET STATUS BOX

DONE!!!!!!!

SECTION II

AD700 for PCMS Charges

Click DATA ENTRY:

Click '**New Purchase Request**'

- **Select the correct MU and Sub Account numbers from the drop-down menu.**
  - For those who charge to **Soft Fund Accounts or have multiple account assignments**, select the correct MU from Drop-Down Menu.

- Click **'CAPS LOCK'.**

In '**Short Description**:

- **For accounts with CRIS/Sub accounts:**
  - **EX:** Type **55CFH5(*sub account- initials-fiscal year)*** (spacebar), followed by a specific, yet brief description of item(s) ordered. *(This is the only descriptive information the Research Leaders/Fundholders will see on the Status of Funds.)*
- **For accounts without CRIS/Sub accounts:**
  - **EX:** Type **910CFH5*(last three (3) digits of the MU number-initials-fiscal year)*** (spacebar) followed by a specific, yet brief description of item(s) ordered. *(This is the only descriptive information the Research Leaders/Fundholders will see on the Status of Funds.)*
- CLICK 'OK'.

***Across the top are Tabs**: '**GENERAL**', '**DETAIL**', '**ACCOUNTING**', '**NOTES**', 'PROCUREMENT'
** (You won't use the PROCUREMENT tab).

GENERAL tab:

- In the REQUESTING OFFICE block, enter the Preparer's last name.
  - **Ex**: HORTON
- If you are ordering for someone, enter their last name/your last name)
  - **Ex**: MORRIS/HORTON.

Information only:

- The **Date** defaults to the current date. (*You may change this date to the Date of Order).*
- The **Ship To** defaults to 141 Experiment Station Road. You may change this, if necessary.
  - (This address is linked in CATS with the Receiving Office number, '4431').
    - **Example of address change:** ***USDA, ARS, NBCL, 59 LEE ROAD, STONEVILLE, MS, 38776.***
      (When placing the order, be sure to provide the vendor with the correct 'Ship To' address; this is where the shipment will be delivered)

Click DETAIL tab:

- Enter a complete description of item(s)
  - **In PCMS, you may list all items on one (1) Line Item**. (This is a Supervisor's decision). Show the quantity in parenthesis next to each item.

    Note: If you list all items on one Line Item, use one (1) as QUANTITY.

    Note: To enter items on separate Line Items, click NEW ITEM and continue with the steps below.
- BOC **2670** may be used for items **$1000.00 and below**.
  - Otherwise, you must select a specific BOC from the Drop-Down Menu.

****CHECK WRITERS** must enter the Check Fee (1% of check) as a separate Line Item, with a **BOC- 2581**.

AD700 for PCMS Charges (cont'd)

- Type UNIT ISSUE - bxs, cs, ea, job, ord, etc. (holds up to three (3) characters)
- Enter QUANTITY(If you listed all items on one Line Item, use one (1) for QUANTITY.)
  - Enter UNIT PRICE: **If you listed all items on one Line Item, you will enter the Total for the complete order.**

Note: You must complete all blanks before closing or the system prompts you.

Note: To add two (2) or more Line Items, click NEW ITEM and follow these same steps.

- CLOSE

****INFORMATION ONLY:**

- REQUIRED DELIVERY (Block 23) defaults to two (2) weeks from date of AD700. You may edit as needed.
- FOR ADDITIONAL INFORMATION CONTACT defaults to preparer's name and phone number.
  - *If ordering for someone else, this contact information may be changed.*
  - ESTIMATED FREIGHT (Block 26) is entered at this time.

Note: To EDIT, go back to the DETAIL tab, double click on the respective Line Item and make the changes.

Click ACCOUNTING tab:

- Shows the MU and Sub Account numbers to be charged.
  - If needed, this is where you would **split** an order between CRIS/Sub-Accounts
    - Double click on the MU line
      - At CATS - Account:
  - Click New Account
  - Select the correct MU and Sub Account
  - Adjust amount by Acct Lines and Sub Account:
    (1) Click Acc Line 2 and enter amount for new sub account;
    (2) Go back to Acc Line 1 to adjust dollar amount to balance the AD700 total on the original CRIS/Sub Account.
    (The unallocated amount should total $0)
  - Click CLOSE.
- RECOMMENDED SOURCES:
  - Click 'Vendors'.
    - Select the appropriate MU title and accounting code by highlighting.
    - You may select from the drop-down menu.
  - In AVAILABLE VENDORS block, begin typing the vendor's name. (first 3 characters)
    - If the vendor is listed, it should pop towards the top of the list.
      - If listed, highlight your selection from the vendor's list. **(The contact information is not important for PCMS AD700s.)**
    - If the vendor is not listed, click ADD NEW.
      - If the appropriate MU title is not highlighted, click on the drop-down arrow to select the correct MU number.
        - Make sure the appropriate MU is highlighted; the vendor is saved to that particular accounting code/name.

AD700 for PCMS Charges (cont'd)

- Type vendor's name.

Note: **(The complete contact information is not important for PCMS AD700s.)**

- Click OK.
  - Retype the vendor's name in the AVAILABLE VENDOR block. (first 3 characters)
    - Highlight your selection from the vendor's list.
      - Click the left arrows to move the vendor's name(s) to the SELECTED VENDOR'S block.
- Click OK.

Click NOTES tab:

- Enter any information in the Request Notes for your use.
  - **EX**: 'Agency Reference Number'(after SAVE, complete the ARN), 'Check Number'(where applicable), 'vendor contact person and/or notation of conversation with date', etc.

Note: USER FIELDS are used to run selective User Field Reports. You may use all fields.

- **EX. 1.**: If you're working on a specific project and you want to track the expenses. You may establish a code/title/name for the USER FIELD(s).
- **EX 2.**: If you need to track SY CRIS dollars, etc..

- Click SAVE. (Wait for the requisition number) – This REQUISITION NUMBER is system-generated.

IMPORTANT: (Please write down the last five (5) digits of the Requisition Number or make a mental note of it.)

****These digits will complete your Agency Reference Number/your new PCMS Log number in the SHORT DESCRIPTION and also used in PCMS .**

- Click OK.

- EDIT the SHORT DESCRIPTION - **adding the last five (5) digits of the Requisition Number** to complete the Agency Reference Number/your new PCMS Log number.

REMINDERS:

- **Those with a CRIS/Sub Account**: **Ex.** 55CFH5 (sub account-initials-fiscal year) **add the last five (5) digits of the requisition number (Ex. 55CFH500130).**

- **Those without a CRIS/Sub Account: Ex. 910CFH5 (**last three (3) digits of the MU number, initials, Fiscal year) **add the last five (5) digits of the Requisition number (Ex. 910CFH500130).**

Note: That is the new Agency Reference Number/PCMS Log number that is entered into PCMS.

- Click SAVE. (**The requisition number pops up after every SAVE.**) Click OK.
- Click PRINT to PREVIEW for errors or necessary changes.
  - If changes are needed, click CLOSE. Go back into form to edit.
    - Click SAVE after all changes are complete, then PRINT. (Follow the Print steps)
  - If no changes are required, click on the printer to PRINT.
    - PRINT at least one (1) copy for your records, unless the more are required.

      Note: This copy is your PENDING AD700 file. It becomes COMPLETE, when and only when the shipment is complete, invoices are attached, and the charge(s) are reconciled in PCMS.

AD700 for PCMS Charges (cont'd)

- Click CLOSE.

IMPORTANT: To make changes to an AD700, it must be set to 'WORKING' status.

NOTE: If the supervisor's approval is required, leave the AD700 in 'WORKING' status until approval is received.

- After supervisor's approval is received, he/she may change the status of the AD700 to CREDIT CARD in the NOTES tab.
- If you have closed the AD700 and need to change its status to CREDIT CARD:
    - Click the **SEARCH** option. (Follow the **SEARCH** instructions below to access the AD700.)

NOTE: If no Supervisor approval is required:

- o Click the NOTES tab, change the REQUEST STATUS to CREDIT CARD.
- SAVE; CLOSE.

SEARCH Option:

Click SEARCH:

For faster access and if the REQUISITION NUMBER is known:

- Add the last three (3) digits of the MU/accounting code and the last five (5) digits of the REQUISITION NUMBER found on the AD700.
    - Click SEARCH.
    - Click once to highlight the entry.
    - Click RETRIEVE/MODIFY. (Please wait on the system).
        - o Edit the AD700 as needed.

- **Without** the REQUISITION NUMBER: **(This is a very important reason to print the AD700)**
    - o Type the last three digits of the Accounting Code only.
        - Click SEARCH. **(This will take awhile because the system has to load every entry in that Accounting code/MU. It is wise to have the Requisition number available)**
        - Stroll down to locate your requisition number.
        - Click once to highlight the entry.
- Click RETRIEVE/MODIFY. (Please wait on the system).
    - o Once in the AD700, edit as needed.

- Before closing, go to the NOTES tab to re-check the correct status in the REQUEST STATUS block.
- Click SAVE; CLOSE; CLOSE.

DONE IN CATS!!!!!!!

SECTION III

In PCMS

RECONCILE PCMS AS NORMAL

- The only differences to reconciling PCMS:
  - Enter the new Agency Reference Number/Log Number **(Ex. 55CFH500130 (format with a CRIS) or 910CFH500130 (format without a CRIS))** in **both** the COMMENTS and AGENCY REFERENCE blocks.
  - ***If the shipment is a PARTIAL, place a **P** after the each Agency Reference Number until the order is Complete.
  - Once the order is COMPLETE, the Agency Reference Number/Log Number should be followed with a **C**.

*****SUGGESTION: If the shipment is a PARTIAL, leave the AD700 in the PENDING file until the shipment is COMPLETE. After the shipment is COMPLETE, move the AD700 with the invoices and other documentations attached to the COMPLETE file.**

SECTION IV

AFTER
RECONCILING 'PCMS'
go back to
CATS – 'CC WIP'(Credit Card Work-In-Progress)

Click on CC WIP option:

NOTE: *__Only orders marked CREDIT CARD will be seen in this screen.__

- Select **for Internal House Account**
- Select the correct MU.
- Click SELECTED AD700S List.
    - Highlight the AD700, one at a time.
- CC AGENCY REF NUMBER is system-generated. (It has no significance for us.)
- DATE OBLIGATED is the date the order was placed. Edit as required.
    - (It automatically defaults to the current date).
- OBLIGATED: (Do **NOT** make a change until the order is 'COMPLETE' in PCMS.
    - Enter all PARTIAL shipment information in the PROCUREMENT NOTE block.
        - **Ex**: The PROCUREMENT TOTAL is $300.00,
            - **Y**ou will type: $150.00, 01/30/05
$100.00, 02/5/05
- NFC APPROVED DATE is the date you reconcile the COMPLETED shipment in PCMS.
- DATE RECEIVED is the date the order is received as COMPLETE (Leave blank until COMPLETE).
- PROCUREMENT TOTAL:
    - Once the order is COMPLETE and IF the PROCUREMENT TOTAL changes, (due to estimated S&H or other price changes), you may then, and only then, change the PROCUREMENT TOTAL.
    - Ensure the OBLIGATED block is then marked 'COMPLETE'.
- Click UPDATE to Save.
- CLOSE.

NOTE: You may also access your PURCHASE LOG from this screen.

SECTION V

WORKING Status:

The AD700 must be in 'WORKING' status to make any changes to it.

If by chance, the AD700 has been marked CREDIT CARD and changes are necessary:
- Enter CC-WIP.
  - Locate the Requisition number at 'for Internal House Account'.
    - Click on 'Get Selected AD700 List'.
    - Highlight order by clicking on it.
    - Click DELETE ASSIGNMENT. (The system will prompt "Are you sure…..back to working?) 'YES' or 'NO'. Select 'YES'.
- CLOSE and go into the SEARCH option.

SEARCH Option:

(For faster access, you may enter last three (3) digits of the MU plus the REQUISITION NUMBER found on the AD700.)

- If the REQUISITION NUMBER is **known**:
    - Enter the last three (3) digits of the MANAGEMENT UNIT **plus** the REQUISITION NUMBER found on the AD700.
- Click SEARCH.
- Click once to highlight the entry.
- Click RETRIEVE/MODIFY. (Please wait on the system).
  - At AD700, edit as needed.

- **Without** the REQUISITION NUMBER:
  - Type the last three digits of the Accounting Code only.
    - Click SEARCH.
    - Arrow down to locate charge.
    - Click once to highlight the entry.
- Click RETRIEVE/MODIFY. (Please wait on the system).
  - At AD700, edit as needed.

- Before closing, re-check the correct status in the REQUEST STATUS block. (NOTES tab)
- Click SAVE; CLOSE; CLOSE.

YOU DID IT!!!!!!!

Status of Funds

LAO distributes Status of Funds reports following close of monthly bookkeeping cycle. Review for discrepancies.

1. Separate and set aside, temporarily:
   - Plan Summary report
   - Status of Funds for grants, CRADAs, sibling CRISs, etc.
   - Salary Management Systems report (usually distributed after the first of the year)

2. Locate unposted lists of commitments for each CRIS

3. Reconcile unposted list with credit card log and AD-700 log by marking those items that appear on unposted list. This includes AD-700s, SF-182s, travel expenses, etc.

4. On Salary Management Systems and Plan Summary reports, locate expenses such as salary adjustments, awards, fund transfers.

Reference:
P&P 325.1-ARS dated 09/11/98

Return to SOP Main Page

PERSONNEL

AWARDS

- General Information
- Key to Award Amounts
  - Extra Effort Award
  - Spot Award
  - Time-Off Award
  - Performance Bonus Award
- MSA Policy #04-01
- Guiding Principles of Recognition
- Introduction to Employee Recognition Program
- Responsibilities
- Determining Appropriate Recognition
- Publicity
- Definition of Recognition Categories
- Guidance & Procedures for Recognition Categories
  - Nonmonetary Extra Effort Awards
  - Time Off Awards
  - Measurable Benefits Scale
  - Nonmeasurable Benefits Scale
  - Performance Bonuses

INDIVIDUAL DEVELOPMENT PLANS (IDPs)

- Instructions – ARS 48
- Example

PERFORMANCE APPRAISALS – BAD 435

TIME AND ATTENDANCE RECORDS

- Transaction Code Table
- SF-182 – Training Form

PERSONNEL

Awards

General information

Assigning Case Numbers - Case numbers are assigned by Area Personnel Office
The full 8-digit Award Case Number consists of the following:
Positions 1-2, Agency Code = 64 (Mid South Area)
Position 3, Fiscal Year Award Effective = 1 (for FY 2001)
Position 4, A “I” for Individual Award or “G” for Group Award
Position 5-8, Sequential Case Number from the list assigned by Marie Bishop

Who is Approving Official?
Area Director must approve Employee Suggestion Awards. Spot, Extra Effort, Performance, Time Off Awards and Quality Step Increases may be approved by Research Leaders, Center Directors, and Location Administrative Officer AS LONG AS THE RECOMMENDING INDIVIDUAL AND APPROVING OFFICIAL ARE DIFFERENT PEOPLE.

CHECK WITH YOUR LOCATION ADMINISTRATIVE OFFICER (LAO) FOR PROCESSING COMPLETED AWARD FORMS.

Key to Award Amounts

1. **Extra Effort Award**
Apply the Contribution in Block 11 of the AD-287-2 Award form to the Scale on page 12 of the Guide for Employee Recognition, and itemized in Block 15, and the result is the Award Amount in Block 14. However, if the Contribution in Block 11 can be measured in terms of time saved, money saved, or expenditures avoided, use the Scale on page 11 of the Guide to determine the Award Amount in Block 14. The contribution (and justification, if necessary) must support the applicable Benefits Scale and the Award Amount.

2. **Spot Award**
Apply the Contribution in Block 11 of the Award From to the Scale on page 12 of the Guide (and itemized in Block 15), and the result is the Award Amount in Block 14. The Contribution must support the Benefits Scale and Award Amount.

3. **Time-Off Award**
Apply the Contribution in Block 11 of the Award Form to the Scale on Page 10 of the Guide (and itemized in Block 15), and the result is the Award Amount in Block 14. The Contribution (and justification, if necessary) must support the Time-Off Scale and number of Time-Off Hours.

4. **Performance Bonus Award**

Apply the Contribution in Block 11 of the Award Form to the Scale on page 12 of the Guide, and the result is the Award Amount in Block 19. The Contribution (and justification, if necessary) must support the Benefits Scale and Award Amount.

Justification Statements

Justification Statements are required in addition to completing Block 11 of the Award form:

1. For any award amount over $500
2. If giving over 10 Time-Off hours
3. A separate Performance Appraisal narrative explaining how the employee met the Elements can also be used as the Justification Statement.
4. Appendix C of the Guide for Employee Recognition provides a justification outline that may be helpful.

Award Limitations

1. Spot Award Range to a maximum of $500 per award.
2. Time-Off Award Employee may be granted a maximum of 40 hours of time off for a SINGLE contribution. Employee may be granted a TOTAL of 80 hours of time off during a LEAVE YEAR. The leave must be used within 1 year after the effective date of the award. Award is effective on the first pay period following approval. After the 1-year period, any unused time off is forfeited.

3. Performance Bonus Award Employee must receive a Performance Appraisal Summary of Fully Successful or higher. Award amount cannot exceed 10% of an employees annual salary. Employee can receive only one Performance Bonus Award per Performance Appraisal Cycle.

4. Quality Step Increase Employee must receive Outstanding Performance Appraisal Summary Rating. Not appropriate if employee appointed or promoted within the past year. A minimum of 52 weeks must elapse between QSIs.

References:

– USDA Guide for Employee Recognition (Blue Book)

United States Department of Agriculture

Research, Education, and Economics
Agricultural Research Service

MSA Policy #04-01

October 7, 2004

SUBJECT: Policy on Awards

TO: Mid South Area All

FROM: Edgar G. King /s/ Edgar G. King
Area Director, Mid South Area

Awarding performance is a critical part of personnel management. The Mid South Area Office supports the need to recognize individuals that perform at the outstanding or superior level or otherwise display extra effort. However, we also are concerned that these awards are consistent across the Mid South Area. So, we developed a Mid South Area Award Policy after reviewing the USDA award policy and award policies in other ARS Areas.

The following applies to approval of Cash, Quality Step Increase (QSI), and Time Off Awards in the Mid South Area. If no Center Director (CD) or Laboratory Director (LD) is present, the responsibilities shift to the Research Leader (RL) level.

1. All recognition must be linked to Agency's mission, goals, and objectives.

2. There should be no preconceived distribution of awards.

3. All employees who receive an Outstanding rating for their annual performance must be offered a choice of either Cash, Quality Step Increase (QSI), or Time Off award. Employees already at Step 10 of the grade and thus not qualifying for a QSI must be given a choice of Cash or Time Off. An employee cannot receive more than one form of award for a single performance event.

   Employees may receive only one QSI within any 52-week period. QSIs are based on the grade level in which performance is measured.

Consequently, employees promoted or reassigned to duties near the end of the rating cycle are not eligible for QSIs. QSIs would not be appropriate for an employee in the 10th step of their grade or for someone who has announced their retirement or otherwise would not be in their position long enough to benefit from the increase. Moreover, QSIs affect future within grade increases (WGI). If a QSI will put an employee in the 4th or 7th step of their grade, then the employee's current WGI waiting period will be extended by one additional year. The 4th step is the step that begins the two-year waiting period, and the 7th step is the step that begins the three-year waiting period. Finally, QSIs should be initiated as soon as practical after the end of the rating cycle. Delaying a QSI could have an impact on an employee's eligibility for future QSIs.

4. The enclosed guideline applies for the maximum cash award for those employees receiving an Outstanding performance rating for performance cycle December 31, 2004. The guidelines are set at five percent of the salary at Step 1 of the current grade the employee is in. The enclosed table shows the amounts for GS, WS, and WG employees. The dollar amounts have been rounded up to the next $50. This method of determining a maximum cash award is simple to implement, clear to both supervisors and employees, and reflects a realistic balance between impact and job performance. The guideline amounts will be updated annually.

5. If Time Off is selected as an award option, 40-hours off will be awarded for an Outstanding Rating.

6. Performance awards and QSIs for employees whose Outstanding performance ratings have been approved by the reviewing official may be approved by the CD/LD/RL. The approval of the Area Director will not be needed. The written justification for the Outstanding rating suffices as justification for the award.

7. All employees receiving a Superior rating must be given a cash award or a Time Off award. Cash awards should be between two-thirds (high superior) to one-half (low superior) of the amount in the Guidelines for Outstanding performance. A written justification for Cash awards is required if they are more than $500 each. This justification must address how the employee's performance exceeds Fully Successful and why that justifies an award. Twenty-four hours off will be awarded for a Superior Rating.

8. According to the USDA Guide for Employee Recognition, Extra Effort Awards recognize specific accomplishments such as superior contribution on short-term assignment or project, an act of heroism, scientific achievement, major discovery, or cost savings. Extra Effort Awards should not be given as a result of an annual performance rating. The USDA Guide for Employee Recognition is attached for your reference.

9. Employee Recognition (http://www.usda.gov/da/employ/recog.htm) provides guidance on appropriate amounts for these awards. Extra Effort Awards for amounts over $500 require a written justification explaining why the contribution is deserving of special recognition. CD/LD/RL may approve Extra Effort Awards up to $1500 unless they are the originator of the award nomination; awards in excess of that amount and award nominations originating with the CD/LD/RL must be approved by the Area Director. CD/LD/RLs are responsible for the equitable execution of this policy within their units.

10. Extra Effort Awards, Spot Awards, and Time-Off Awards are separate from performance rating of record. However, any award proposed for an employee whose most recent performance rating was less than Fully Successful must be justified in writing and can be approved only by the Area Director. Such approvals will be very rare. Supervisors are encouraged to use Spot Awards, Time-Off Awards, and other non-monetary recognition as appropriate. No written justification is required for Spot Awards or for Time-Off Awards of 10 hours or less or other non-monetary awards. These awards are approved by the CD/LD/RL except where the award nomination is originated by the CD/LD/RL.

11. The Area Director has the authority to approve awards up to $3,000.

2 Enclosures:
Fixed Cash Award for Outstanding Performance Rating Table for Calendar Year 2004
USDA Guide for Employee Recognition

cc w/encl:
E. B. Knipling
Helene Saylor
Deborah Brennan
Archie Tucker
Karen Brownell

Fixed Cash Award for Outstanding Performance Rating
Calendar Year 2005

(For Performance Cycles Ending December 31, 2005 and March 31, 2006)

GS Employees	Suggested Award Amount $	WG Employees	Suggested Award Amount $	WS Employees	Suggested Award Amount $
01	900	01	950	01	1,450
02	1,000	02	1,050	02	1,550
03	1,100	03	1,150	03	1,600
04	1,250	04	1,200	04	1,700
05	1,400	05	1,300	05	1,750
06	1,550	06	1,350	06	1,850
07	1,700	07	1,400	07	1,900
08	1,900	08	1,500	08	1,950
09	2,100	09	1,550	09	2,050
10	2,300	10	1,600	10	2,100
11	2,550	11	1,700	11	2,200
12	3,000	12	1,750	12	2,350
13 & above	3,000	13 & above	1,850	13 & above	2,500

The Guiding Principles of Recognition

1. Link recognition to USDA's and agencies' mission, goals, and objectives. Recognition decisions must support defined goals and values.
2. Provide greater equity in the distribution of recognition. All USDA employees should be given an equal opportunity to be rewarded for the results of their work without regard to grade level.
3. Give recognition for specific achievements. Actions that produce positive results, rather than subjective feelings and visibility, should be rewarded.
4. Hold managers accountable for using recognition to achieve or recognize results. Employees feel strongly that managers should be responsible for ensuring recognition is specifically linked to positive actions and contributions.
5. Involve coworkers and customers in recognition decisions. Peers and customers often have a good awareness of the contribution that an employee makes, and local units should experiment with ways in which such input can be used.
6. Give recognition in a timely manner. Employees feel that recognition given in a timely manner, such as spot awards, is most effective.
7. Emphasize group recognition. Group recognition encourages teamwork and fosters the cooperation needed to address the many complex issues faced by USDA.
8. Emphasize nonmonetary recognition. Use of innovative nonmonetary recognition can create a positive work environment.
9. Keep recognition ceremonies simple and local. Employees feel that recognition given within the local unit is more meaningful than recognition from higher level offices and supervisors.
10. Give employees a choice in type of recognition they receive. Whenever possible, recipients should be allowed a choice in the type of recognition they receive.
11. Publicize recognition distribution. Agencies must be open in publicizing who receives what recognition for what actions.
12. Provide flexibility for recognition decisions at the local level. Agencies should move responsibility for recognition decisions to the local administrative level and eliminate layered review process.
13. Incorporate funding for recognition into agency budget planning for the local level. Employees feel that agencies are inconsistent in budgeting for recognition, with some agencies having no formal recognition budget.
14. Provide uniform training for managers and employees in effective use of recognition. A discussion of the recognition process should be included in all departmental and agency management training programs, and recognition guidelines should be included in the orientation package for all new employees.
16. Publish an annual recognition report. The Office of Human Resources Management (OHRM) would be responsible for the report and should include in it statistical trends.

Introduction to Employee Recognition Program

What is the goal of the USDA recognition program?

The Department's recognition program is designed to fairly and equitably recognize and reward individuals and groups for excellence in service to USDA's mission.

All USDA employees are eligible for most types of recognition. This includes all full-time, part-time, and seasonal employees, regardless of appointment type. In addition, former employees whose contribution occurred when they were employed with USDA and private citizens who contributed to the mission of USDA or the Federal Government as a whole are eligible to receive recognition. Private citizens are eligible only for nonmonetary recognition.

What legal authorities govern recognition programs?

- Chapters 45, Title 5 United States Code (U.S.C.) provides authority to establish employee recognition programs (5 U.S.C. 4503); and Title 5 Code of Federal Regulations (CFR) Part 451.

- Regulatory requirements for performance recognition for employees in General Schedule (GS) and prevailing rate employees are found in 5 CFR Part 430. Regulatory requirements for Quality Step Increases for GS employees are found in 5 CFR Part 531.

- Regulatory requirements for Senior Executive Service Recognition are found in 5 U.S.C. 5384, 5 U.S.C. 4502 through 4503 and 5 U.S.C. 4507 through 4508.

Responsibilities

What are the Department's responsibilities for the employee recognition program?

The Office of Human Resources Management will:

- Provide policy guidance and training for agencies about the employee recognition program.

- Refer suggestions with Government-wide applicability to the Office of Personnel Management

- Establish and maintain a clearinghouse to disseminate innovative recognition practices.

- Publish an annual awards report.

Agency Heads are responsible for:

- Ensuring that the program supports the Department's mission, goals, and objectives.
- Ensuring equity in the distribution of recognition.
- Ensuring that employees are informed of recognition policies and procedures.
- Providing periodic training on the effective use of the recognition program.
- Conducting annual reviews to ensure the effective use of the recognition program.
- Emphasizing the importance of teamwork through recognition of groups.
- Incorporating funding for recognition into agency budget planning.
- Emphasizing nonmonetary recognition for specific achievements.
- Ensuring that employee recognition is publicized.
- Delegating recognition program authority and funding to the lowest level consistent with the Secretary's policies and these guidelines.
- Eliminating unnecessary levels of review to ensure timely processing of recognition.
- Encouraging innovation for nonmonetary recognition at the local level.

What are Supervisors' and Managers' responsibilities?

Supervisors and Managers are responsible for:

- Recognizing employees for specific achievements.
- Ensuring equity in the distribution of recognition.
- Considering input as appropriate from coworkers, customers, or other sources such as unions and employee organizations when making recognition decisions.
- Recognizing contributions in a timely manner.
- Emphasizing the importance of teamwork through recognition of groups.
- Emphasizing nonmonetary recognition for specific achievements.
- Promoting the recognition program by encouraging employee participation, arranging for appropriate presentations and periodically publicizing recognition activities.
- Allowing those recognized to choose the type of recognition they receive when

choices are possible.

- Forwarding suggestions and inventions promptly to the appropriate party for evaluation.

- Reviewing nominations to ensure that recognition is linked to the contribution and that the amount accurately reflects the value of the contribution rather than grade level or other nonmerit factors.

What are Agency Recognition Coordinators responsibilities?

Agency Recognition Coordinators are responsible for:

- Administering the Recognition Program based on Departmental objectives outlined in this Guide.

- Providing support and training to employees, supervisors and managers.

- Monitoring program effectiveness.

Determining Appropriate Recognition

Who can recommend and approve recognition?

Anyone who believes an employee or private citizen has made a significant contribution may make a recommendation. A nominator should consider customer and coworker input in determining if an individual is deserving of recognition. Approval levels vary depending on the amount and type of the award. Check with your agency for delegations of authority.

How do I determine which type of recognition is appropriate?

Carefully read the following sections on nonmonetary and monetary recognition and monetary performance bonuses to help you determine which type and the amount of recognition to give.

What factors determine who should receive recognition?

All USDA employees should be given an equal opportunity to be rewarded for the results of their work without regard to grade level, or other nonmerit factors.

Should there be customer/coworker involvement in the recognition system?

Yes. This is encouraged when practical. For example, information could be gathered from customer evaluation surveys, telephone contact, etc. Also, coworker input could be valuable. Each agency should consider implementing its own method for obtaining the information.

Can an employee choose which type of recognition he or she prefers?

Yes. This is encouraged when choices are possible. However, employees should be given a specific option, such as a choice between a small monetary recognition versus time off or choice of available keepsake items.

Should I give recognition to a group of employees?

Yes. Group recognition is highly advantageous because it helps to foster teamwork and equity.

Publicity

Should employee recognition be publicized?

Yes. Publicity is an integral part of the recognition program. Supervisors and employees are encouraged to work together to publicize recognition. You may wish to consider posting an announcement on a bulletin board or in an agency newsletter. Recognition presentations can also be held but they should be kept simple and local.

How can I share our agency's recognition program successes?

As agencies experiment with different types of recognition, they should inform OHRM of successful innovations. OHRM will act as a clearinghouse for such ideas so that other agencies can benefit from them.

Definitions of Recognition Categories

What are the recognition categories? What are the different types in each category?

- *Nonmonetary Extra Effort Awards*- Recognition given for a specific outstanding accomplishment such as a superior contribution on a short-term assignment or project, an act of heroism, scientific achievement, major discovery or significant cost savings.

- *Types of Nonmonetary Extra Effort Awards*- These include time off awards, keepsakes, letters of appreciation and honorary awards. Monetary Extra Effort Awards - Recognition given for a particular accomplishment such as those defined above under nonmonetary recognition. Dollar amounts are determined by the value of benefit and application of the contribution to the Department's or agencies' missions or goals. Nonmonetary recognition can be given in conjunction with monetary recognition; e.g., a plaque given in conjunction with a cash award.

- *Types of Monetary Extra Effort Awards* - These include extra effort (formerly called special act or service awards), spot, gainsharing, invention and suggestion awards.

- *Performance Bonuses* - Monetary recognition given for performing well, over the course of the rating cycle, such as consistently high productivity or high quality work.

- *Performance Bonuses* - These include lump-sum performance bonuses (formerly sustained superior performance awards) and Quality Step Increases (QSIs).

Is there any special recognition for Senior Executive Service (SES) employees?

SES career employees are eligible for performance bonuses, Presidential Rank and Extra Effort Awards (except Spot and Time Off).

SES non-career employees are eligible for Extra Effort Awards (except Spot and Time Off).

Guidance and Procedures for Recognition Categories

Nonmonetary Extra Effort Awards

What role should nonmonetary recognition play?

Nonmonetary recognition is equally valued with monetary recognition. The form of recognition is less important than the act of recognizing an accomplishment.

What kind of nonmonetary recognition is available?

Nonmonetary recognition can take many forms, including mementos, such as an engraved plaque or a framed certificate of appreciation, or time off. Following are a few examples of nonmonetary recognition: a keepsake item; a letter of appreciation; a designation, as "employee of the month;" or a mention in an "honor roll" section of an employee newsletter.

What are the Secretary's Honor Awards? Who may receive this recognition?

The Secretary's Honor Awards are the most prestigious awards that USDA can present. Employees at all grade levels and private citizens are eligible. These awards are presented annually by the Secretary to individuals for notable contributions to the Department's mission, the Nation or public service. (See Appendix A for identification of Honor Awards categories.)

What kinds of keepsakes can be given as recognition?

Medals, certificates, plaques, citations, badges, pen-and-pencil sets, pins and coffee cups are types of keepsakes that can be presented as long as the item displays the Department's name and is suitable for display.

How much money may be spent on individual nonmonetary recognition?

No more than $250 can be spent on any one item. ($100 or less for accomplishments of minimal value and up to $250 for honorary/major accomplishments; examples of honorary recognition are the Secretary's Honor Awards Program, the Agricultural Research Service, Hall of Fame Award; the Forest Service, Chief's Award. etc.).

Who can approve and what steps are necessary to approve time-off awards?

A supervisor may authorize up to 10 hours of time off by using the approval form AD-287-2. If granting more than 10 hours, consult your Agency's guidelines.

How much time off should an employee receive as recognition?

The following chart covers most situations:

TIME OFF AWARDS	
VALUE OF THE EMPLOYEE'S CONTRIBUTION	**HOURS TO BE AWARDED**
SMALL/MODERATE - Contributions that helped to ease a backlog or completing a special project that benefitted primarily the employee's home office.	1 - 10 Hours
MODERATE/SUBSTANTIAL - Contributions that helped an entire division, region, or other large geographic area.	11 - 40 Hours

NOTE: An employee may not be granted more than 80 hours in a leave year. SES employees are not eligible for time-off awards.

Guidance and Procedures for Recognition Categories

Monetary Extra Effort Awards

What kinds of monetary recognition can be awarded?

Monetary recognition can take the form of spot awards, extra effort awards (formerly special act or service awards), gainsharing, suggestion awards, and invention awards.

What are the steps involved in recommending and approving monetary recognition?

Monetary recognition must be approved at a management level higher than that of the recommending individual. Recommendations are submitted on Form AD-287-2. Monetary awards exceeding $500 require written justification, in addition to Form AD-287-2. The Secretary approves monetary recognition for SES employees.

How do I determine the amount of the monetary recognition to recommend?

Whenever possible, nominators should determine if the contribution can be measured in terms of time saved, money saved or expenditures avoided by using the following "Measurable Benefits Scale." If the contribution cannot be measured this precisely, the nominator should determine the award amount by weighing the "value of benefits" and the "application" as shown in the following "Nonmeasurable Benefits Scale."

When a team or a group of employees receives monetary recognition, the amount given to each group member may be different. In such cases, the nominator can recommend how much each group member should receive based on their individual contribution. In addition, each group member may be asked his or her preference concerning the type of recognition.

Measurable Benefits Scale

MEASURABLE BENEFITS SCALE	
Benefit	*Award*
Up to $10,000	*10 percent of the benefits*
$10,001-$100,000	*$1,000 for the first $10,000 in benefits, plus 3 percent of benefits over $10,000*
$100,001 or more	*$3,700 for the first $100,000 in benefits plus .005 of benefits over $100,000.* Award amount should not exceed recipient's annual salary.*

*NOTE: *All recognition for individuals or an individual as a member of a group up to $5,500 per person requires approval from the appropriate Under or Assistant Secretary or Staff Director. The Secretary of Agriculture approves all Senior Executive Service awards and awards in excess of $5,500 and not greater than $10,000. Awards in excess of $10,000 per individual must be approved by the Office of Personnel Management. Awards in excess of $25,000 require Presidential approval.*

Nonmeasurable Benefits Scale

NONMEASURABLE BENEFITS SCALE			
Value of Benefits	*Application*		
	Limited:	*Broad:*	*General:*
	Impacts the public interest, or a specific small work unit to as large as a division or region.	Impacts the public interest, or several regional areas or an entire agency.	**Impacts the public interest, or more than one agency, or the entire Department.**
Small/Moderate	*$50-$325*	*$325-$650*	*$650-$1300*
Moderate/Substatial	*$325-$650*	*$650-$1300*	*$1300-$3150*
Substantial/Extended	*$1000-$2500*	*$2500-$5500*	*$5500-$10,000*

NOTES: As of the date of this publication, the monetary amounts apply throughout the Federal Government. Agencies may refine these definitions to fit the needs of the organization.

What is a Spot Award?

http://www.usda.gov/da/employ/spotforweb.htm

The Spot Awards Program allows supervisors and other individuals to grant employees (as individuals or in groups) immediate monetary recognition for extra efforts that warrant small awards. Spot awards are considered small to moderate in value and limited to broad in application

Awards may range in value from $50 to $500 (in any dollar amount) with no award amount exceeding $500. Employees may receive more than one Spot award within a one-year period. When determining award amounts refer to the non-measurable benefits scale.

Individual Awards:

Amount is not less than $50 and no more than $500 per person.

Group Awards:

There is no ceiling on the total amount of any group award. However, the award amount for each group member may not exceed $500.

Usually, the contributions recognized will have been completed within a period of 4 to 6 weeks or less. Recognition should be made within 3 days, but not later than 30 days after completion of the accomplishment. Spot awards are approved or disapproved by a superior or management level higher than the recommending individual who has signature authority.

What is an Extra Effort Award?

Extra Effort Awards recognize individuals or groups who make significant one-time contributions (eg. special project, task force, etc.) to the agency's or the Department's mission or goals. The award amount can range from $50 to more than $10,000, depending on the application and value of benefit of the contribution to the Government.

Does USDA have an employee suggestion or invention recognition program?

Yes. Employees may be recognized for the approval of written suggestions or development of inventions that improve the efficiency or effectiveness of Government operations. Employees may be recognized for their suggestions and inventions on a monetary or a nonmonetary basis. For more detailed information regarding suggestion or invention programs contact your agency's recognition program coordinator. Employees may also refer to the "Employee Suggestion Program Brochure" at http://www.usda.gov/da/employ/suggestion-brochure.pdf

What is gainsharing?

Under this program, a portion of savings resulting from gains earned by an organization through improved quality, more efficient use of resources and process improvement is distributed to employees. For more detailed information regarding gainsharing contact your agency's recognition program coordinator.

Performance Bonuses

What is a performance bonus?

A performance bonus is monetary recognition given to an employee for having performed well their normal day-to-day duties.
Employees can demonstrate this in many ways (i.e., regularly contributes high work output; consistently completes work products of high quality; provides exceptionally prompt and courteous service to customers, clients and coworkers). The key point to remember is that performance bonuses are intended to recognize a good performance throughout the rating cycle.

What types of performance bonuses are there?

There are two kinds: (1) lump-sum performance bonus (formerly Sustained Superior Performance Awards); and (2) Quality Step Increase (QSI), an extra step increase. What type of justification is required for a performance bonus? Supervisors are required to provide documentation of accomplishments whenever an employee is given a summary rating of "Outstanding." No additional justification is required if a performance bonus is also granted. If a performance bonus is given to an employee whose summary rating is other than "Outstanding," and the award amount exceeds $500, one of the following is required: (1) separate written justification; or (2) individual performance element accomplishment writeup.

How much money can be awarded in a lump-sum performance bonus?

Use the charts listed in the monetary extra effort recognition section, but note that a lump-sum performance bonus cannot exceed 10 percent of an employee's annual salary.

Is everyone eligible for lump-sum performance bonuses?

No. Noncareer SES employees are not eligible. However, Career SES employees are eligible.

What level of performance is required for a lump-sum performance bonus?

Employees must receive at least a fully successful or pass rating on their performance rating.

When should I give a lump-sum performance bonus?

Generally these should be given within 90 days of the end of the performance cycle.

What level of performance is required for a QSI?

Employees must receive an outstanding performance rating.

Does a QSI require any extra justification?

No. The narrative justifying the outstanding performance rating is sufficient.

Who is not eligible for QSI's?
SES and wage-grade employees are not eligible for QSI's.

Can I give a QSI or a lump-sum payment to an employee who received one this year?

No. Only employees who have not received a QSI or lump-sum payment in the last 52 weeks are eligible.

What are the advantages of performance bonuses?

Performance bonuses are significant recognition because they encourage employees to continue to excel in the manner in which they carry out their duties and responsibilities.

What should be done if there are funds for only a few performance bonuses?

In these circumstances, consideration should be given to smaller monetary recognition amounts supplemented by nonmonetary recognition for all employees who performed at the same level. The emphasis should be on equitable treatment for each individual.

Preparing Justifications

When is it necessary to prepare a narrative justification in addition to an AD-287-2?

A narrative justification must be prepared for any monetary extra effort recognition exceeding $500 or any time off awards exceeding 10 hours. If the recognition awarded is $500 or less, or 10 hours or less, complete only the citation block on Form AD-287-2--a separate attachment is not necessary (Appendix B identifies helpful hints on how to write a justification). Refer to Performance Bonuses in this Guide for writing justifications for performance bonuses and QSI's.

Reporting Requirements

What are requirements for recognition reports?

In order to effectively monitor the Department's recognition program, each mission area/agency will provide information and reports to OHRM concerning the operation of its program(s) as requested.

IN MAKING NOMINATIONS, AGENCIES MUST GIVE EQUAL CONSIDERATION TO ALL EMPLOYEES REGARDLESS OF DUTY STATION OR GRADE LEVEL. AGENCIES MUST ALSO ENSURE THAT NOMINATIONS ARE NONDISCRIMINATORY FROM THE STANDPOINT OF RACE, COLOR, NATIONAL ORIGIN, AGE, DISABILITY, SEX, MARITAL STATUS, FAMILIAL STATUS, PARENTAL STATUS, RELIGION, SEXUAL ORIENTATION, PROTECTED GENETIC INFORMATION, POLITICAL BELIEFS, REPRISAL OR SOURCE OF INCOME (PUBLIC ASSISTANCE).

Appendix - Justification Outline

1. During the period of (give time of performance), (group/person) did what . (Beginning paragraph should start with this sentence.)

2. This exceeded expected performance as identified in the current position description by:
   - Improving quality
   - Timely completion of the project
   - Increasing productivity
   - Overcoming adverse obstacles or working under unusual circumstances
   - Using unusual creativity
   - Saving the Government time and/or money
   - Increasing program effectiveness.

3. As a result:
   - Project acceptance
   - Savings in time, money, and/or material

- More efficiency
- Effectiveness
- Technological advancement
- Productivity increase
- Improved levels of cooperation that will result in ...

4. Therefore, we propose an award of (amount/hours) which has been calculated using the (measurable benefits/nonmeasurable benefits/time-off scales.)
   - If based on measurable benefits, the expected benefit to the organization is (put amount here)
   - If based on nonmeasurable benefits, the APPLICATION is (insert here), and the VALUE OF BENEFITS is (put amount here)

Individual Development Plans (IDPs)

Within two weeks of the performance appraisal discussion session, an IDP must be prepared for all permanent employees. The following are a couple of IDP tips to remember:

A new IDP has to be prepared each year.

IDPs are not limited to only formal and on-the-job training. IDPs should also include such self-development activities as:

Reading material related to the work of the position. Self-directed learning such as watching videos, reading books, listening to cassettes, etc. that are related to the employees performance. Videos and books may be checked out from the SMART Center.

On any IDP reviewed at the Area level, checking Block 8 “. . . no training or development needs at this time . . .” is not acceptable.

Reference:
– BForm ARS-48
– IDP and SMART Center Web Sites:

http://www.afm.ars.usda.gov/hrd/empdev/index.htm

INSTRUCTIONS - ARS-48, INDIVIDUAL DEVELOPMENT PLAN (IDP)
(Items 1, 2, and 3 are self-explanatory)

4. DESCRIPTION OF WORK ASSIGNMENTS –

A. Current Performance Elements Identified for Development/Training - List those performance elements from the established performance requirements for which training and/or development will be given during the appraisal period. (It is unlikely that all elements would ever appear in this block.) Training and/or development might be given to enhance current performance, correct deficiencies, or prepare an employee for some job-related change. These elements must relate in some way to the current job and the performance elements agreed upon by the supervisor and employee.

B. Projected/Potential assignments - List any assignments which may result in a need for development and/or training. These assignments may be current or projected and could be the result of changes in assignments, reorganizations, changes in unit mission or restructuring of work.

5. PERFORMANCE RELATED KNOWLEDGE, SKILLS, and ABILITIES –

List the knowledges, skills, and abilities associated with each of the performance elements identified in Item 4A. (No knowledge, skill, or ability would appear in this item without a direct connection to a performance element in Item 4A.) Only list those knowledge, skills, and/or abilities for which development or training is planned.

6. DEVELOPMENTAL WORK EXPERIENCES (*On-the-job assignments, Self development*) –

For the appropriate knowledge, skill, and/or ability, list the applicable activity which will lead to achieving the required knowledge, sill, or ability. Additional information such as dates, locations, or other commitments should be included with a description of the ability.

7. FORMAL TRAINING (*Courses, Seminars*) -

Match the proper knowledge, skill, and/or ability to the formal training activity. If known, list the course title, sponsoring institution/vendor, location and dates when training will be taken. (It is possible to use both a developmental activity and formal training to achieve the same development objective.)

8. – When the supervisor and employee have analyzed the work assignments and conclude that no development and/or training is required or appropriate, check the box in this item.

9. SIGNATURE AND DATE –

Employee and supervisor should sign and date this form in all cases. The signatures indicate that the two parties concur in the content of the IDP. Signatures do not mean that the agency is bound to support the activities and/or training nor that the employee must complete the plan. The allocation of resources is a local matter and should be discussed by the affected parties. The Approving Official should sign and date the IDP. This signature indicates that the official concurs with the content.

DISTRIBUTION -

Employee Performance Folder (EPF) - Original
Employee - Part 2
Supervisor - Part 3

NOTE: See instructions on reverse.

INDIVIDUAL DEVELOPMENT PLAN

1\. EMPLOYEE'S NAME *(Last, first, initial)*

Secretary, Ima G.

2\. CURRENT POSITION TITLE

Secretary (Office Automation)

3\. ORGANIZATION NAME AND LOCATION

USDA-ARS
Name of Location

4\. DESCRIPTION OF WORK ASSIGNMENTS

A. Current Performance Elements Identified for Development/Training

1. Computer operations and telecommunications
2. Resource management plan/budget
3. Clerical support

B. Projected/Potential Assignments

1 & 2. Monitors unit expenditures accurately
3. Prepares manuscripts, correspondence, etc. accurately and promptly

5. Performance Related Knowledge, Skills, and Abilities	6. Developmental Work Experiences *(On-the-job assignments, Self development)*	7. Formal Training *(Courses, Seminars)*
1 & 2. Knowledge of computer spreadsheets.	1 & 2. Read and study manuals for Excel. Practice by completing exercises and tutorials in manuals and workbooks.	1 & 2. Attend short courses for Excel (include the training course name, vendor, course dates, tuition costs, if known)
1. Knowledge of computer operations.	1. Develop a better understanding of computer operations through working with other staff members.	1. Attend related courses at local university/community college.
3. Ability to communicate effectively in writing.	Develop the ability to communicate more effectively in writing through continued practice.	3. Attend short courses for improving written communication.

8\. ☐ The supervisor and employee have completed the IDP process and have determined that no training or developmental needs are indicated at this time.

9\. SIGNATURE and DATE

EMPLOYEE	SUPERVISOR	APPROVING OFFICIAL

Form ARS-48 (8/83) (Use reverse for additional comments.) USDA-ARS

Performance Appraisals-BAD-435

Form AD-435, Performance Appraisal Form, is used for ARS permanent employees and those appointed initially for longer than one year. To be rated, an employee must have been in his/her position and under performance standards for 90 days or more.

Technicians (Categories 5 and 7), Wage Grade (Category 8), and Clerical/Secretarial (Category 9) are rated from April 1-March 31 each year.

Research Scientists (Category 1), Support Scientists (Category 3), Service Scientists (Category 4), Research Associates/Affiliates (Category 2), and Specialists (Managerial, Advisory, or Administrative) (Category 6) are rated January 1-December 31 each year.

A very complete Mid South Area Timetable for Completion of Appraisals is sent out with the appraisal forms from the Area Office each year. This timetable lists the various deadlines involved with completion of the AD-435 forms and any award forms needed in conjunction with Performance ratings (Fully Successful, Superior and Outstanding).

The AD-435 is received from the Area Director's office with Blocks 1-10 preprinted. Type each element from the employee's Performance Standards on the corresponding line of the Form AD-435 and check Block 15a if the element is a critical one.

Give the AD-435 and current Performance Standards to the employee's supervisor to prepare the rating. For Category 1 and 4 scientists, a copy of the Detail by Author Report is necessary for documentation of accomplishments. The supervisor rates the employee in the appropriate blocks 15B-D, totals blocks 15E-15H, and checks the appropriate rating box in 16A. After the rating is done, the form goes to the reviewing official for approval. After the supervisor and reviewing official have discussed the rating and are in agreement, the supervisor meets with the employee to discuss the rating and to have the employee sign the completed form. The completed form should contain the signatures of the supervisor, the rating official and the employee.

If the employee is not required to attend the ethics training, the employee shall write "NA" in block 17b.

If the employee is recommended for a monetary performance award, Form AD-287-2 should be included in the packet. If an employee receives an outstanding rating, the justification provided for that rating will be sufficient for the award justification; a monetary award or a quality step increase can be given. A copy of the AD-435 is justification for the award if the award is not outstanding.

Once the employee has signed the AD-435, the Original (NFC Processing Copy) and the blue copy (Official Personnel File) with the original of the Performance Plan for the rating year attached are sent to the Area Personnel Office for processing.

Attach the employee's copy of the completed AD-435 to a copy of the performance standards and distribute to the employee.

Attach the supervisor's copy of the completed AD-435 to a copy of the performance standards and distribute to the supervisor.

New performance standards for the coming year should be put into place at this time and the cover sheet should be signed and dated by Employee, Supervisor, and Reviewing Supervisor.

Checklist for Preparing Performance Standards

Performance plans should be developed by the supervisor for each employee within 30 days of the beginning of the appraisal period or within 30 days of hire. The following are some reminders for establishing a performance plan.

1. Check the employee's position description for accuracy. The major duties in the position description should be included in the performance plan as critical elements. Accomplishment of organizational objectives and goals can be included in Performance Plans. Elements should be clearly stated and measurable.

2. Employee participation in developing the plan is desirable. However, the rating and reviewing officials have the final responsibility for establishing the performance plan.

3. There must be at least three, but no more than ten, elements.

4. At least one element must be critical, and at least one element must be noncritical.

5. Standards should be as objective as possible.

6. Each employee whose position is classified a supervisor must have performance element(s) that address supervisory responsibilities. (Positions classified as supervisor usually include the term Supervisory, Supervisor, Manager, Officer, or Administrator in the title.) Remember, non-supervisory employees also include those individuals who have limited supervisory responsibilities (such as, supervision of one technician or student, team leaders, etc.).

7. All employees' performance plans must include a separate element that addresses EEO/CR.

8. All employees with health, safety, environmental protection, and/or energy management responsibilities should have an element and standard in their performance plan that addresses these responsibilities.

9. The performance plan must be signed by the employee, the supervisor, and the reviewing supervisor (normally, the second-line supervisor). The employee should then receive a copy of the approved plan.

REMINDER!

There must be at least one documented progress review during the appraisal period. The documentation can be a note on the performance plan that the discussion took place and the date of the discussion initialed by employee and supervisor.

See P&P 418.3 for information on Performance Standards and the ARS Performance Appraisal System
Web site: **http://www.afm.ars.usda.gov/hrd/performance/index.htm**

Detail by Author Report

The following instructions are to be used by the MU Secretary to develop the Detail by Author Report, which will be used at appraisal time. A copy of the Detail by Author Report is to be attached to all Performance Appraisal forms.

The following ARIS instructions begin from the Main Menu:

1) Research Documentation

2) Reports

3) 115 Author Reports

4) Author's name (query"?")

5) Query > Execute (this should pull up all ARS-115's entered in the last five years or you can list a specific time period in the "approval date" field) NOTE: If you query under your location's mode code, you will only receive a listing of the Author's 115's that were entered at your location. However, since many scientists co-author papers with other ARS scientists, you may want to query without the mode code in order to pull up 115's that may have been entered at other locations.

6) Action

7) Mark All Records

8) Reports (there are several choices, but the most helpful are as follows):

– Detail by Author (gives a list of all ARS-115's with pertinent information)
– Detail by Author Missing citation
– Detail by Author Citation (list of all 115's including citations)

For Appraisal Purposes--"January 1- December 31" (Use cutoff date set by Area Office or cutoff date your Management Unit uses for appraisal purposes; may change each year.)

Request For Personnel Action - SF-52

Request for Personnel Action (SF-52) is required for any recruit, new hire, work schedule change, termination, retirement, promotion, or reclassification. If the action is included in ARMPS, the supervisor signs Block 5 (action requested) and the RL signs Block 6 (action authorized). If the action is not included in ARMPS, then the supervisor and RL both sign in Block 5 and the AD signs Block 6. Everyone in the supervisory chain should sign SF-52s.

Check with your Location Administrative Officer for additional information.

Web Site: **http://www.afm.ars.usda.gov/divisions/hrd/hrdhomepage/52requst.htm**

Position Description Cover Sheet - AD-332

A position description cover sheet (Form AD-332) must accompany all position descriptions going forward to Personnel. The supervisor signs Block 19. Type information into Block 21.

If a standardized PD is being used, a copy of the AD-332 accompanying the standardized PD must be used because it has the classification of the description documented in Blocks 11 through 17. Only when non-standardized PDs are used should "original" AD-332s be used. Standard Position Discriptions can be found at the following website: **http://www.afm.ars.usda.gov/hrd/classification/index.htm**

Time and Attendance Records

Currently the agency is using the STAR application. In the future the agency will be changing from STAR (desktop application) to STAR WEB. When the agency changes to STAR WEB then you may wish to see for further information **http://intranet.fsa.usda.gov/fsatraining/star_web_training_2004.htm**.

T&As (Time and Attendance) - AD-331; Audits

Reference:

- P&P 401.1 (Flexible Work Schedules)
- P&P 402.3 (Premium Pay)
- P&P 402.6 (Leave)
- ARS T&A Errors and Tips
- Time and Attendance Instructions Manual (Title I, Chapter 7, Section 1)
- System for Time and Attendance Reporting (STAR) Manual

When an employee leaves federal service, a final T&A and leave audit (AD-717) must be completed. If the NFC database and STAR T&As disagree, an audit (AD-717) is required. AD-717 now requires Supervisor's signature.

Contact your LAO/AAO, Admin Office, or Budget & Fiscal Clerk for instructions.

Web site for leave audit forms:
http://www.afm.ars.usda.gov/divisions/hrd/hrdhomepage/webforms/auditform.htm

T&A Transaction Code Table

01 REGULAR TIME
04 SUNDAY DIFF.
05 SUNDAY DIFF. W/ND
11 NIGHT DIFF.
12 COMP TIME W/ND
13 NIGHT DIFF. SUN
14 HAZARD PAY DIFF.
17 COMMUTE GOV AUTO
18 INVALID FOR ARS
19 O/T OVR 8 HRS DAY
21 O/T OVR 40 HRS WK
22 INVALID FOR ARS
23 O/T UNDER FLSA
24 O/T TRAVEL TIT V
25 O/T EX 40 H WK ND
26 O/T OV 8H DAY ND
29 CRED LEAVE EARN
30 O/T CALLBACK NW
31 HOLIDAY WORK
32 COMP TIME LU O/T
33 INVALID FOR ARS
35 REG TIME BAS-NEG
36 REG TIME MD-TERM
37 REG TIME ON-GO
38 REG TIME GRV-APP
40 HOME LEAVE EARN
41 AD UNCONTROL O/T

45 BEGIN COST LIV
46 BEGIN FORGN POST/D
47 DISC COST LIV
48 DISC FORGN POS/D
49 QTRS ALLOWANCE
50 CREDIT LEAVE TAK
60 COMP USED - RELG
61 ANNUAL LEAVE
6166 TIME-OFF AWARD
62 SICK LEAVE
6262 FAMILY SICK LEAVE
63 RESTORED ANN LV
64 COMP TIME USED
65 MILR LEAVE - REG
66 OTHER LEAVE
67 OWCP INJURY LV
68 MILR LEAVE EMERG
69 HOME LEAVE USED
71 LWOP
72 AWOL
73 SUSPENSION
74 FURLOUGH
86 INVALID FOR ARS
91 QTRS/SUBS DEDUCT
92 MEALS DEDUCTION

Training – SF-182

The SF-182, Training Form, must be prepared for ALL instances of training; e.g., workshops, correspondence courses, programmed instruction, individual college study, traditional classroom courses, etc. This includes short courses and videos of 1-4 hours (or less than a day). Remember, however, “abbreviated” SF-182s can be done in these instances where no funds are expended or groups of employees attend. Training is paid by credit card. The SF-182 is for documentation purposes only.

INSTRUCTIONS FOR COMPLETING
FORM SF-182

A. AG-03-64XX code (your location code) must be entered on all SF-182s.

B. Obtain Document Control Number from the LAO or the Training Designee.

C. Check appropriate box.

1. Enter trainee’s full name; enter first five digits of last name in shaded area.

2. Enter trainee’s Social Security Number (nine digits).

3. Complete ONLY for Graduate School, USDA (formerly OPM) courses. Enter trainee’s year/month of birth, e.g., 43/01.

4. Complete ONLY for Graduate School, USDA courses. Enter trainee’s home address.

5. Complete ONLY for Graduate School, USDA courses. Enter trainee’s home telephone number, including area code.

6-7. Self-explanatory.

8. Enter commercial telephone number.

9-10. Complete ONLY in case of long-term training (e.g., full-time training of 120 days or more).

11a. Trainee’s position title/function.

11b. If the applicant is disabled or handicapped and in need of special arrangements (brailling, taping, interpreters, facility accessibility, etc.), mark block with an X and describe the special arrangements on a separate sheet and attach to the Vendor Copy. NOTE: The applicant is not required to furnish this information. Their signature on the description sheet indicates agreement to release it to the training vendors.

12. Trainee’s pay plan, job series and present grade, example GS-201-12/3.

13. Complete ONLY for Graduate School, USDA courses. Use the following symbols to

show type of appointment.

C = Career	EP = Excepted permanent
T = Temporary	Term = Term

14. Complete ONLY for long-term training programs (over 120 days). Enter the highest degree attained.

15a. Training Vendor's name and mailing address.

15b. Site of training, if same, place an X in the box.

16. Self-explanatory.

17. Enter catalog/course number, if provided by vendor.

18. Enter the year, month, and day the course begins and ends.

19. Self-explanatory. [If the training is over 80 hours for a single program (during duty or nonduty) and is conducted by a non-Federal Government vendor, and official funds will be expended, the employee must read and sign the reverse side of Copy 1 of the SF-182.]

20. Use training code definitions. (Attached)

21. Enter OCC 2523 directly across from and on the same line as "Direct costs and appropriation/fund chargeable."

Enter the current fiscal year's 10- or 14-digit financial data code from which the training costs will be paid in the "Appropriation/fund" column.

21a,b,c. Enter four-digit dollar amount as appropriate for each item and leave Cents column blank or enter "00."

If any costs will be paid from a credit card enter the words "Credit Card" directly across from the item under the appropriation/fund column.

21d. Enter four-digit total dollar amount and leave cents column blank or enter "00". If the form is being sent to NFC for payment, do not include in the total any items (a, b, or c) that will be paid from credit card.

22. As appropriate, enter rounded-off dollar amounts for travel and per diem. Leave cents column blank or enter "00". Leave "Appropriation/fund" column blank.

23. Enter dollar amount to be obligated by this training request in parenthesis on right side of this block, e.g., ($0325). This amount should be the same as the amount shown in Block 21d.

24. For Government sponsored courses only, i.e., OP, Graduate School, USDA, GPO, Enter NFC's eight-digit station symbol 12-40-0001.

25. If vendor is a Government Agency such as Graduate School, USDA, OP, GPO, etc., place the following in Block 25:

USDA-NFC-FSD-ARB
Reporting Section No. 4
P.O. Box 53326 TANO Bldg.
New Orleans, LA 70153

If commercial or non-Government vendor, such as AMA, USDA, Grad School, etc., place the following in Block 25:

USDA-NFC-FSD-ARB
Reporting Section No. 4
P.O. Box 53326 TANO Bldg.
New Orleans, LA 70153

NOTE: If training is paid by credit card, leave Block 25 blank.

26-27. Type name, title, and commercial telephone number of appropriate officials.

28a. Type name, title, and commercial telephone number of LAO or HQS Training Designee.

29. Type name, title, and commercial telephone number of authorizing official*: for HQSBDivision/Staff Director or Administrative Officer for Field-Research Leader.

30. Type name, title, and commercial telephone number of LAO or HQS Training Designee.

*RLs can authorize:

Non-federal government training not in excess of $1,500.

University training not in excess of $1500 (includes tuition, books/materials, travel, per diem, miscellaneous fees, etc.) and not to exceed 120 hours (8 credit hours) in a single program per person per semester/term.

All Federal Government training except Executive Development Programs.

Reference:
P&P 440.1

Training Codes

Training Codes/Purpose -- Block 20a
1 As a result of mission or program changes
2 As a result of new technology
3 As a result of new work assignments
4 To improve present performance
5 To meet future staffing needs
6 To develop unavailable skills
7 Trade or craft apprenticeship
8 Orientation
9 Adult basic education

Training Codes/Type -- Block 20b
1 Executive and management
2 Supervisory
3 Legal, medical, scientific, or engineering
4 Administrative and analysis
5 Speciality and technical
6 Clerical
7 Trade and craft
8 Orientation
9 Adult basic education

Training Codes/Source -- Block 20c
1 Government--Agency
2 Government--Interagency
3 Non-government--designed for Agency
4 Non-government--off shelf
5 State or local government

Training Codes/--Block 20d
00 None
01 Executive development
02 Supervision
03 Supervisory/Manager probationary period
04 Upward mobility (Department)
05 Upward mobility (Agency)
06 SES candidate development program
07 Management development program (Department)
08 Management development program (Agency)
09 FSC Midlevel
10 FSC Senior threshold
11 PMI
12 COOP
13 Presidents Executive Exchange Program
14 LEGIS
15 Com sci
16 Woman's career and/or executive development
17 PTO law program

18 Long-term full-time
19 Long-term part-time
20 EEO training
21 Computer training
22 Self development
23 Congressional fellowship
24 Foreign language training
25 Total Quality Management
26 Procurement Integrity Act Ethics Training
27 InfoShare Training
28 HIV/AIDS Training

Return to SOP Main Page

PROPERTY

PROPERTY
Mid South Area

Introduction

Federal Government classifies property as either "personal" property or "real" property. Real property is land, buildings, or structures, including any permanently attached fixtures and improvements. Personal property is property that is transportable, any property except real property. This includes equipment, furniture, vehicles, boats, and aircraft.

Department regulations (AGPMR 104.50.1) require agencies to establish responsibility for effective implementation of a property management program to:

- ensure maximum use of Department property,
- operate adequate inventory control and accountability systems, and
- properly dispose of unneeded agency assets.

The AAO administers the Area's personal property management program according to REE policies and procedures. Appropriate PMO's are:

- **Area Property Management Officers (APMO's**). Serve as the AAO's representative and liaison on personal property matters. The APMO provides management oversight for effective accountability, control, utilization, and disposal of personal property within their respective Area and locations. The APMO also provides guidance, training, and assistance to location PMO's within their respective Area.

  - **Terry Krutz**
  - **Erica Jones**

- Location Administrative Officers (LAO's) have primary responsibility for managing an effective property management program within their respective location to ensure accountability, control, utilization, and disposal of location property.

Accountable Property/ Accountable Officer (APO)

An inventory of accountable property must be maintained by each Accountable Property Officer.

The Accountable Property Officer is usually the Research Leader for your unit, however the responsibility can be delegated to a scientist in that unit.
Bi-annual accountable property checks are required, and all items not accounted for shall be reported on Form AD-112 by the APO.

Property

Accountable property is:

- property with an original cost of $5,000 or more;
- all leased property regardless of cost; and
- all items determined sensitive by the agency.

Within Research Education Economics the following items are sensitive:

- firearms (all types); ***(approval required before purchase***)
- law enforcement badges;
- property on loan to non-Federal recipients under the Federal Excess Personal Property Program (FEPP).

Non-Accountable Property
Although non-accountable property is not kept on an official inventory, managers are still responsible for maintaining internal control of all property assigned under their unit. They must provide adequate resources to their employees to secure property assigned to them. All employees are directly responsible for using Government property for official purposes and safeguarding property assigned to them.

A listing of non-accountable property with an acquisition cost between $2500 and $4,999 should be kept by the custodian. The listing should include a description of the item, serial no., cost and date of acquisition.

Tracking New Accountable Property
When you receive new accountable property, the Location Administrative Office will send you a bar code label along with a request for inventory information.
Attach the bar code to the property and fill out and return the inventory information.

It is very important that inventory information is returned within 14 days of receipt of property, so that the item can be added to inventory. You should inform the Location Administrative Office if there are extenuating circumstances that preclude you from providing the information within 14 days.

Attaching the Bar Code Label
1. Select an observable area on the property where a label can be easily seen. When possible, avoid areas which are vulnerable to spills from gasoline, oil, or other harsh liquids.

2. On equipment which has varying degrees of texture, place the label on the smoothest surface available to allow for the greatest amount of surface contact.

3. Outdoor equipment needs special attention. If it is maintained in sunlight, place the label where the least amount of direct sunlight hits daily.

4. In cases where the label must be placed in an area which is not readily visible, you will need to make a notation in your records as to where the label was placed.

5. Allow the label sufficient time to adhere or "set up" by not placing any materials on the label for a 24-hour period.

Inventory information should include at least the following:

- description of the equipment
- serial no.
- manufacturer
- model no. (if available)

** If you receive new accountable property and do not get a bar code for the property, please notify your Location Administrative Officer or designated property person.

Acquiring Excess Property
Federal regulations (FPMR 101.26.1 and 101.43) state that excess property is the first source of filling acquisition requests. However, before acquiring excess property, it is the responsibility of the receiving party to inspect the item, the receiver will talk to the reporting agency official who has personal knowledge of the property.

http://www.gsaxcess.gov

If you find something you want contact your LAO or location property personnel.

Defense Reutilization and Marketing Service (DRMS)
DRMS maintains inventory of all Department of Defense surplus property. The surplus property is managed by local Defense Reutilization and Marketing Offices (DRMO's) that are located at or near U.S. Military facilities.

http://www.drms.dla.mil

Field employees will work with their appropriate Property Management Officer to determine whether excess property is available within USDA through DEPPC, GSA, or DRMS. Property Management Officers will request excess on-line via Property System or FEDS/SCREEN.

In order to search and freeze excess property you must request a password with search and freeze authority. Contact your LAO or servicing property office.

When requesting excess that is accountable property, the Accountable Property Officer is responsible for forwarding receipt documentation to the Property Management Officer for updating to Property Management Information System/PROP.

Reporting Excess Property
If you have property that is excess to your needs, please contact your Location Administrative Officer or location property personnel.

Report of Transfer or Other Disposition - Form AD-107 (Example Attached)
This form is used to document the transfer, loan, sale, trade-in, or donation of all personal property.

Transfer of Property - One research unit to another, from another Area, or Agency

Trade-In of Property - Obtain approval from the LAO or location property personnel prior to listing property for trade-in. With approval, the property is listed on the Purchase Order as a trade in. At this time, the AD-107 should also be completed for the property being traded. The AD-107 is to be signed by the Research Leader and the company accepting the trade-in. Include a description of the property as well as the trade-in allowance on the form. The completed AD-107 is sent to the LAO or location property personnel.

Donation of Property - If you have property that is excess to your needs, report it to your RL. Property can be donated to non-profit agencies such as schools, salvation army, however it must first be reported as excess to Department of Excess Personal Property.

Remember*: Our first priority regarding excess property is to other research units .*

Loaning/Borrowing Government Property
Accountable Property Officers may lend property that could be temporarily out of service to other REE agencies or other Federal agencies. The loan period should not exceed 1 year. However, Accountable Property Officers may extend it if necessary. Accountable Property Officers ***may not lend*** Government Property for ***personal*** use.

Loaning to Non-Federal Agencies
APO's may loan property to non-Federal agencies, including State, county public, or individuals for work in support of REE programs. However, a written agreement must be in place to document the work involved.

Borrowing Property
The Accountable Property Officer and the appropriate Property Management Officer will work together to decide if borrowing property will fulfill a need.

Procedures
Regardless of the cost of the item, Accountable Property Officer's will document all instances of loaning/borrowing property on form AD-107 and include the following information:

- item description, serial number, manufacturer name, and model number
- loan period,

- conditions for use,
- maintenance requirements, and
- inspection requirements upon return.

Both the loaning and the borrowing agency will sign the form. The form should be forwarded to the Property Management Officer.

Home Use of Government Equipment
Managers may loan Government property to employees for official work at home. You may not loan or give Government property to employees as a reward, gift, or because the equipment is no longer needed by your unit. If you loan Government property to employees for work-at-home, A Form AD-107 must be completed prior to removal. (Example Attached)

Report of Unserviceable, Damaged, Destroyed, and Lost/Stolen Property
Form AD-112 is used to report property that is unserviceable, damaged, destroyed, or Lost/Stolen.

Employees must immediately report thefts of personal property to their supervisors. The building manager should also be notified. A description of the property and a statement noting you filed a report with the authorities on the specific date (if applicable) should be listed on the AD-112.

Gift Acceptance
Contact your RL and/or LAO regarding the acceptance of gifts. No gifts should be accepted without written approval from the Deputy Area Director.

MOTOR VEHICLES

Proper Use of Government-Owned or Leased Vehicles (GOV)
Government vehicles are maintained by the agency for employees to use when conducting official Government business. Vehicle operators must possess a valid State drivers license and must have their license with them when operating a GOV.

Government vehicles:

- may only be used to conduct official Government Business
- smoking is prohibited
- passengers must wear their seat belts
- only Government employees or approved cooperator employees are to operate and/or occupy a GOV

Vehicle custodians are responsible for ensuring that anyone they instruct to operate a government vehicle has a valid driver’s license.

** If you are unsure as to whether an individual can operate or ride in a Government vehicle, please contact your Location Administrative Officer.**

Government Fleet Card
Each vehicle has a gasoline credit card (VOYAGER) assigned to it. The VOYAGER card should be used for **all vehicle services** offered by a participating merchant. Vehicle operators should use the VOYAGER card at participating retail locations for:

- fuel expenses
- vehicle repairs, and
- vehicle maintenance.

To use the fleet card vehicle operators will have to enter:

- the card's access code/PIN number, and
- the vehicle's current odometer reading

PIN - last 4 digits of Vehicle # printed on card

12345 6789 10113 6 **Vehicle 12<u>3789</u>** USDA-ARS-MSA A22222

If a card you are trying to use shows up as "invalid" at the pump, try letting the attendant inside scan the card. If you continue to get the same message, contact VOYAGER customer service by dialing the toll free number found on the back of the card. The customer service representative can authorize the purchase over the phone if the card is indeed a valid account number.

The Voyager Card should be kept under lock & key at all times.
Vehicle operators will immediately report lost or stolen cards to their Location Administrative Office.

Maintenance of Vehicles
Government vehicles shall be maintained in a safe operable condition. All Government vehicles must be have a Federal Inspection once a year or every 12,000 miles whichever comes first.

Form ARS 45 Vehicle Inspection Checklist (ATTACHED) should be used by a qualified mechanic to perform the inspection. After the inspection has been conducted, the original form ARS 45 should be kept in the glove compartment. A copy of the form should be sent to the Location Administrative Office or Area Property Office. Report all unsafe conditions to your units supervisor.

<u>Vehicle Maintenance Books</u>: Employees who use GOV's are responsible for recording <u>*Non-Voyager*</u> transactions for fuel, oil changes, repairs, and mileage in the Vehicle Maintenance Book located in the glove box of each vehicle. All receipts are to be put in the book for collection at the end of the month. Voyager charges are electronically reported at the time of purchase.

Motor Vehicle Accidents
All vehicle accidents must be reported regardless to dollar amount of damage or injury.

If you are involved in an accident with a Government vehicle, you must complete a written report of the accident to your supervisor within 48 hours of the incident. The accident report must include:

- Form SF-91, Operator's Report of Motor Vehicle Accident.(ATTACHED) Complete at the time of the accident and on the scene whenever possible.

- Form SF-94, Statement of Witness. Completed by persons who witnessed the accident.

- Form CA-A, Employee Report of Traumatic Injury (if required). Complete for each injured employee.

These forms can be found in the glove compartment of each Government vehicle.

*** A copy of the police report should also be obtained and included with the accident report.

Form AD-112 is used to document damage to Government Vehicle. Two estimates of damage are to be attached to the AD-112.

Property Form -- AD107

United States Department of Agriculture

Report of Transfer or Other Disposition or Construction of Property

Report No.

Date

1. Type of Transaction (Report each type separately)

☐ Transfer ☐ Sale ☐ Trade In ☐ Donation
☐ Construction ☐ Rehab ☐ As-Is

2. Authorization Reference

3. Proceeds Received

$

4. Reporting Agency	5. Receiving Agency (Or Name of Purchaser or Donee):	
A. Organizational Unit	A. Organizational Unit (Or Address of Purchaser)	
B. Location	B. Location	
C. Signature	C. Signature	
D. Title	D. Title	E. Date

6. Property Items

Quantity (Or Prop. No.)	Item Description (Give Full Details Including Serial Numbers, If Any, and Condition Code)	Inventory Value

Certifications of Property and Fiscal Officers

7. Property Officer: This transaction is completed and the necessary entries have been made to adjust the property records proceeds, if any, are to be deposited to:

8. Fiscal Officer
A. ☐ The sum indicated below has been received in payment for the property disposed of.
B. ☐ The necessary entries have been made to adjust the accounting records.

Amount ($)	Schedule No.

Signature	Date	Signature	Date

U.S. DEPARTMENT OF AGRICULTURE

REPORT OF UNSERVICEABLE, LOST, STOLEN DAMAGED OR DESTROYED PROPERTY

PROPERTY REPORT NO.

DATE

SECTION I - ACCOUNTABLE PROPERTY OFFICER'S REPORT

1. STATUS OF PROPERTY *(Check only one-report each one type separately)*
   - ☐ Unserviceable
   - ☐ Obsolete
   - ☐ Damaged
   - ☐ Lost or Stolen
   - ☐ Cannibalized for parts
   - ☐ Destroyed
   - ☐ Others

2. REPORTING ACTIVITY *(Show agency, unit and address)*

3. PROPERTY ITEMS *(See attachment for additional entries)*

QUANTITY (Or property no.) A	ITEM DESCRIPTION AND OTHER DETAILS, INCLUDING SERIAL NUMBERS AND ACQUISITION DATE *(Give present condition and estimated cost of repair)* B	ACQUISITION COST C	*EXPLANATION/DISPOSAL INSTRUCTIONS (If lost, stolen, or destroyed, give detail. Was this reported to proper authorities?)* D

4. NAME IN PRINT AND SIGNATURE OF CUSTODIAN

DATE

5. NAME IN PRINT AND SIGNATURE OF ACCOUNTABLE PROPERTY OFFICER

DATE

SECTION II - PROPERTY MANAGEMENT OFFICER'S REVIEW AND RECOMMENDATION

DETERMINATION FOR LOST, STOLEN, DAMAGED, OR DESTROYED PROPERTY

1. After due consideration of all known facts and circumstances in this case, it is determined that:
   - ☐ a. The loss, theft, damage or destruction did not result from employee negligence and any involved employees are hereby relieved of liability.
   - ☐ b. There appears to be gross negligence involved; therefore, the case returned to agency officials for appropriate action under the Debt Collection Act.
   - ☐ c. There appears to be negligence involved; therefore, the case is returned to agency personnel officials for consideration of disciplinary action.

2. NAME IN PRINT AND SIGNATURE OF PROPERTY MANAGEMENT OFFICER

3. DATE

SECTION III - AUTHORIZATION FOR CANNIBALIZATION, ABANDONMENT, OR DESTRUCTION OFUNSERVICEABLE PROPERTY

1. Unserviceable property listed above is hereby authorized for cannibalization, abandonment, or destruction in accordance with FPMR 101-45.9 based on any of the following determinations as further explained in section I-3(D):
   - ___ a. Property has no commercial value.
   - ___ b. Health, safety, or security considerations require immediate abandonment or destruction.
   - ___ c. Costs of care and handling exceed expected small lot sales proceeds.
   - ___ d. Regulation or directive requires abandonment or destruction.
   - ___ e. Property is uneconomical to repair/not needed by another user and may be cannibalized for parts. *(Cannibalization is a form of use and property management regulations shall apply. Remainder of property must be disposed of through usual procedures.)*

2. SIGNATURE OF PROPERTY MANAGEMENT OFFICER

3. DATE

SECTION IV - CERTIFICATION FOR COMPLETION OF CANNIBALIZATION, ABANDONMENT, OR DESTRUCTION: ***I certify that cannibalization, abandonment, or destruction action for the items authorized under Section III was completed on this date in accordance with I-3(D).***

1. SIGNATURE OF ACCOUNTABLE PROPERTY OFFICER

2. DATE

3. SIGNATURE OF WITNESS

4. DATE

SECTION V - CERTIFICATIONS OF PROPERTY AND FISCAL OFFICERS

1. SIGNATURE OF PROPERTY MANAGEMENT OFFICER *(The necessary entries have been made to adjust property records.)*

2. DATE

3. SIGNATURE OF FISCAL OFFICER *[The necessary action has been taken to adjust the accounting records and, where required by a determination made under Section II above, to effect collection from involved employee(s).]*

4. DATE

PROPERTY FORM -- SF 91

MOTOR VEHICLE ACCIDENT REPORT	Please read the Privacy Act Statement on Page 3.	INSTRUCTIONS: Sections I thru IX are filled out by the vehicle operator. Section X, Items 72 thru 82c are filled out by the operator's supervisor. Sections XI thru XII are filled out by an accident investigator for bodily injury, fatality, and/or damage exceeding $500.

SECTION I - FEDERAL VEHICLE DATA

1. DRIVER'S NAME *(Last, first, middle)*
2. DRIVER'S LICENSE NO./STATE/LIMITATIONS
3. DATE OF ACCIDENT
4a. DEPARTMENT/FEDERAL AGENCY PERMANENT OFFICE ADDRESS
4b. WORK TELEPHONE NUMBER
5. TAG OR IDENTIFICATION NUMBER
6. EST. REPAIR COST $
7. YEAR OF VEHICLE
8. MAKE
9. MODEL
10. SEAT BELTS USED ☐ YES ☐ NO
11. DESCRIBE VEHICLE DAMAGE

SECTION II - OTHER VEHICLE DATA *(Use Section VII if additional space is needed.)*

12. DRIVER'S NAME *(Last, first, middle)*
13. DRIVER'S LICENSE NUMBER/STATE/LIMITATIONS
14a. DRIVER'S WORK ADDRESS
14b. WORK TELEPHONE NUMBER
15a. DRIVER'S HOME ADDRESS
15b. HOME TELEPHONE NUMBER
16. DESCRIBE VEHICLE DAMAGE
17. ESTIMATED REPAIR COST $
18. YEAR OF VEHICLE
19. MAKE OF VEHICLE
20. MODEL OF VEHICLE
21. TAG NUMBER AND STATE
22a. DRIVER'S INSURANCE COMPANY NAME AND ADDRESS
22b. POLICY NUMBER
22c. TELEPHONE NUMBER
23. VEHICLE IS ☐ CO-OWNED ☐ RENTAL ☐ LEASED ☐ PRIVATELY OWNED
24a. OWNER'S NAME(S) *(Last, first, middle)*
24b. TELEPHONE NUMBER
25. OWNER'S ADDRESS(ES)

SECTION III - KILLED OR INJURED *(Use Section VIII if additional space is needed.)*

A

26. NAME *(Last, first, middle)*
27. SEX
28. DATE OF BIRTH
29. ADDRESS
30. MARK "X" IN TWO APPROPRIATE BOXES ☐ KILLED ☐ INJURED ☐ DRIVER ☐ HELPER ☐ PASSENGER ☐ PEDESTRIAN
31. IN WHICH VEHICLE ☐ FED ☐ OTHER (2)
32. LOCATION IN VEHICLE
33. FIRST AID GIVEN BY
34. TRANSPORTED BY
35. TRANSPORTED TO

B

36. NAME *(Last, first, middle)*
37. SEX
38. DATE OF BIRTH
39. ADDRESS
40. MARK "X" IN TWO APPROPRIATE BOXES ☐ KILLED ☐ INJURED ☐ DRIVER ☐ HELPER ☐ PASSENGER ☐ PEDESTRIAN
41. IN WHICH VEHICLE ☐ FED ☐ OTHER (2)
42. LOCATION IN VEHICLE
43. FIRST AID GIVEN BY
44. TRANSPORTED BY
45. TRANSPORTED TO

46. Pedestrian

a. NAME OF STREET OR HIGHWAY
b. DIRECTION OF PEDESTRIAN *(SW corner to NE corner, etc.)* FROM / TO
c. DESCRIBE WHAT PEDESTRIAN WAS DOING AT TIME OF ACCIDENT (Crossing intersectio n with signal, against signal, diagonally; in roadway playing, walking, hitchhiking, etc.)

SECTION IV - ACCIDENT TIME AND LOCATION *(Use Section VIII if additional space is needed.)*

47. DATE OF ACCIDENT	48. PLACE OF ACCIDENT *(Street address, city, state, ZIP Code; Nearest landmark; Distance nearest intersection; Kind of locality (industrial, business, residential, open country, etc.); Road description).*
49. TIME OF ACCIDENT AM PM	

50. INDICATE ON THIS DIAGRAM HOW THE ACCIDENT HAPPENED

Use one of these outlines to sketch the scene. Write in street or highway names or numbers.

a. *Number Federal vehicle as 1, other vehicle as 2, additional vehicle as 3 and show direction of travel with arrow.*

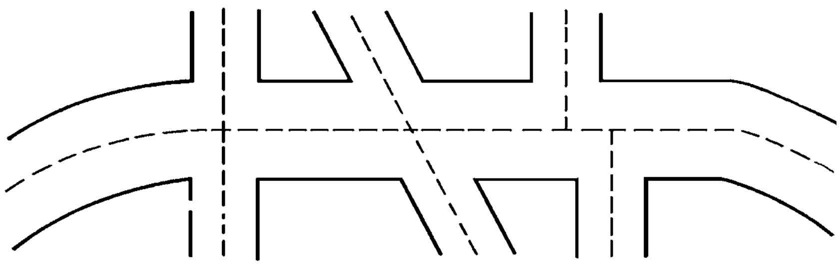
Example: 1 2

b. Use solid line to show path before accident 2 and broken line after the accident 2

c. Show pedestrian by

d. Show railroad by

e. Place arrow in this circle to indicate *NORTH*



51. POINT OF IMPACT *(Check one for each vehicle)*

FED	2	AREA
		a. FRONT
		b. R. FRONT
		c. L. FRONT
		d. REAR
		e. R. REAR
		f. L. REAR
		g. R. SIDE
		h. L. SIDE

52. DESCRIBE WHAT HAPPENED *(Refer to vehicles as "Fed", "2", "3", etc. Please include information on posted speed limit, approximate speed of the vehicles, road conditions, weather conditions, driver visibility, condition of accident vehicles, traffic controls (warning light, stop signal, etc.) condition of light (daylight, dusk, night, dawn, artificial light, etc.) and driver actions (making U-turn, passing, stopped in traffic, etc.).*

SECTION V - WITNESS/PASSENGER *(Witness must fill out SF 94, Statement of Witness) (Continue in Section VIII.)*

A	53. NAME *(Last, first, middle)*	54. WORK TELEPHONE NUMBER	55. HOME TELEPHONE NUMBER
	56. BUSINESS ADDRESS	57. HOME ADDRESS	
B	58. NAME *(Last, first, middle)*	59. WORK TELEPHONE NUMBER	60. HOME TELEPHONE NUMBER
	61. BUSINESS ADDRESS	62. HOME ADDRESS	

SECTION VI - PROPERTY DAMAGE *(Use Section VIII if additional space is needed.)*

63a. NAME OF OWNER	63b. OFFICE TELEPHONE NUMBER	63c. HOME TELEPHONE NUMBER
63d. BUSINESS ADDRESS	63e. HOME ADDRESS	
64a. NAME OF INSURANCE COMPANY	64b. TELEPHONE NUMBER	64c. POLICY NUMBER
65. ITEM DAMAGED	66. LOCATION OF DAMAGED ITEM	67. ESTIMATED COST $

SECTION VII - POLICE INFORMATION

68a. NAME OF POLICE OFFICER	68b. BADGE NUMBER	68c. TELEPHONE NUMBER
69. PRECINCT OR HEADQUARTERS	70a. PERSON CHARGED WITH ACCIDENT	70b. VIOLATION(S)

SECTION VIII - EXTRA DETAILS

SPACE FOR DETAILED ANSWERS. INDICATE SECTION AND ITEM NUMBER FOR EACH ANSWER. I F MORE SPACE IS NEEDED, CONTINUE ITEMS ON PLAIN BOND PAPER.

SECTION IX - FEDERAL DRIVER CERTIFICATION

In compliance with the Privacy Act of 1974, solicitation of the information requested on this form is authorized by Title 40 U.S.C. Section 491. Disclosure of the information by a Federal employee is mandatory as the first step in the Government's investigation of a motor vehicle accident. The principal purposes for using this information is to provide necessary data for legal counsel in legal actions resulting from the accident and to provide accident information/statistics in analyzing accident causes and developing methods of reducing accidents. Routine use of information may be by Federal, State or local governments, or agencies, when relevant to civil, criminal, or regulatory investigations or prosecutions. An employee of a Federal agency who fails to report accurately a motor vehicle accident involving a Federal vehicle or who refuses to cooperate in the investigation of an accident may be subject to administrative sanctions.

I certify that the information on this form *(Sections I thru VIII)* is correct to the best of my knowledge and belief.

71a. NAME AND TITLE OF DRIVER	71b.. DRIVER'S SIGNATURE AND DATE

SECTION X - DETAILS OF TRIP DURING WHICH ACCIDENT OCCURRED

72. ORIGIN	73. DESTINATION

74. EXACT PURPOSE OF TRIP

75. TRIP BEGAN	DATE	TIME *(Circle one)* a.m. p.m.	76. ACCIDENT OCCURRED	DATE	TIME *(Circle one)* a.m. p.m.

77. AUTHORITY FOR THE TRIP WAS GIVEN TO THE OPERATOR

☐ ORALLY ☐ IN WRITING *(Explain)*

78. WAS THERE ANY DEVIATION FROM DIRECT ROUTE

☐ NO ☐ YES *(Explain)*

79. WAS THE TRIP MADE WITHIN ESTABLISHED WORKING HOURS

☐ YES ☐ NO *(Explain)*

80. DID THE OPERATOR, WHILE ENROUTE, ENGAGE IN ANY ACTIVITY OTHER THAN THAT FOR WHICH THE TRIP WAS AUTHORIZED.

☐ NO ☐ YES *(Explain)*

81. COMPLETED BY DRIVER'S SUPERVISOR

a. DID THIS ACCIDENT OCCUR WITHIN THE EMPLOYEE'S SCOPE OF DUTY

☐ YES

☐ NO

b. COMMENTS

82a. NAME AND TITLE OF SUPERVISOR	82b. SUPERVISOR'S SIGNATURE AND DATE	82c. TELEPHONE NUMBER

SECTION XI - ACCIDENT INVESTIGATION DATA

83. DID THE INVESTIGATION DISCLOSE CONFLICTING INFORMATION. ☐ YES ☐ NO *(If "Yes", explain below.)*

84. PERSONS INTERVIEWED

NAME	DATE	NAME	DATE
a.		c.	
b.		d.	

85. ADDITIONAL COMMENTS *(Indicate section and item number for each comment.)*

SECTION XII - ATTACHMENTS

LIST ALL ATTACHMENTS TO THIS REPORT

SECTION XIII - COMMENTS/APPROVAL

86. REVIEWING OFFICIAL'S COMMENTS

87. ACCIDENT INVESTIGATOR	88. ACCIDENT REVIEWING OFFICIAL
a. SIGNATURE AND DATE	a. SIGNATURE AND DATE
b. NAME *(First, middle, last)*	b. NAME *(First, middle, last)*
c. TITLE	c. TITLE
d. OFFICE	d. OFFICE
e. OFFICE TELEPHONE NUMBER	e. OFFICE TELEPHONE NUMBER

VEHICLE INSPECTION CHECK LIST

VEHICLE NO.	TAG NO.	MILEAGE

YEAR	MAKE	MODEL

DATE	REGION

INSTRUCTIONS: Retain the original in the vehicle. Mail one copy to your Servicing Personal Property Section.

Code: Ö = OK X = Adjustment Made R = Repairs Needed

ENGINE and UNDERHOOD	Code	Repair Estimate	
1. Radiator, Cap, Hoses, Coolant		$	
2. Belts: Fan, Alternator, Power Steering			
3. Water Pump			
4. Carburetor Air Cleaner			
5. Carburetor Adjustment			
6. Manifold Heat Control Valve			
7. Head Bolts and Manifold Bolts			
8. Engine Mounting Bolts			
9. Fuel Pump Pressure			
10. Timing, Spark Plugs, Points			
11. Compression			
12. Battery: Connections, Charge, Water Level			
13. Alternator and Regulator			
14. Check for oil leaks			
15. Oil Level, Filter, Breather Cap			
16. PCV Valve			
17. Windshield Washer Fluid			
18. Air Conditioner, Freon Gas			
19. Power Steering, Oil Level			
20. Electronic Ignition System			
21. EPA Exhaust Emission Test *(where required)*			
CHASSIS			
22. Front End Alignment			
23. Front Wheel Bearings			
24. Wheel Lug Bolts			
25. Steering Tie Rods, Drag Link, Idler Arm			
26. Shock Absorbers			
27. Spring and Body "U" Bolts			
28. Drive Shaft			
29. Universal Joints			
30. Differential			
31. Muffler, Exhaust System			
32. Tailpipe, Hangers			
33. Brakes: Foot and Hand			
34. Brake Cylinders, Brake Fluid Reservoir			
35. Automatic Transmission *(Bands, Linkage, Fluids, etc.)*			
36.			
37.			
SUB-TOTAL		$	

BODY	Code	Repair Estimate	
38. Headlights, Alignment		$	
39. Taillights, Back-Up Lights, Stop Lights			
40. Turn Signals, 4-Way Flashers			
41. Parking, Clearance Lights			
42. Glass			
43. Doors, Hood and Trunk *(Fit and Latches)*			
44. Body Bolts			
45. Bumpers			
46. Paint, General Appearance			
47. Door Locks			
48. Lock, Spare Tire *(Trucks)*			
49. Endgate or Tailgate			
50. Windshield Wipers and Washers			
51.			
52.			
INTERIOR			
53. Brake Pedal Travel			
54. Parking Brake			
55. Clutch Pedal *(Free play of ¾ inch)*			
56. Mirrors			
57. Horn Operation			
58. Instrumentation Operation, Switches, Dashlights			
59. Seat Belts, Shoulder Harness *(Anchor Bolts, etc.)*			
60. Defroster, Heater			
61.			
MISCELLANEOUS			
62. Tires *(Condition and Pressure)*			
63. Winch Mechanism			
64. Road Test			
65. License Plates *(Brackets and Bolts)*			
66. Jack and Lugwrench			
67. Door and Dashboard Decals			
68. Emergency Kit			
69. Cost of Inspection *(Labor)*			
70. Repairs Made ☐ Yes ☐ No			
71.			
72.			
TOTAL REPAIR ESTIMATE		$	

NAME AND ADDRESS *(Custodian or Operator)*

NAME AND ADDRESS OF FIRM MAKING INSPECTION

Return to Table of Contents

RESEARCH POSITION EVALUATION SYSTEM (RPES) PROCEDURES

RPES Procedures

RPES Case Writeup Format Changes

RPES Checklist

Basic Instuctions for Case Materials File Naming Convention

Form: AD 332 (fillable)

Form: ARS 514 (fillable)

RPES Policies and Procedures
431.3 - ARS

Manual 431.3-ARS for detailed guidance
(http://www.afm.ars.usda.gov/rpes/index.htm)

Prepared by: Marlene Coley
MID SOUTH AREA
Rev. 3/2007

UPDATED: 07/25/07

Mid South Area
Research Position Evaluation System (RPES) Procedures

Please read and follow the detailed guidance in Manual 431.1-ARS

Draft Case Writeup Checklist

- Due to the Area Office (1) month before the final case is due to the Area Office.
- Do not modify, omit or add section headings or subheadings to the format.
- Review RPES Checklist.doc file attached to your email. It contains additional formatting instructions and examples.
- Each format element must be included in the case writeup or if nothing to report "None" is entered.
- Adhere to minimum font size of Times New Roman 12 cpi and minimum of 1" margin on all sides of case writeup.
- 1st Draft of case writeup should be single spaced in MS WORD along with the ARS-570 (also in Word). Exhibits should be converted to PDF format; labeled using instructions included with your notification documents. *****New Procedure: Please label your exhibit before scanning (can be hand written).* Example: Ex 1a, 22**
- *New -* **Publications submitted to a Journal or Accepted by a Journal must be in ARIS with submission and/or acceptance dates posted. Show the accepted publication in your publication list with the acceptance date from the Journal, see Manual page 35.**
- **NO NAMES** are to be used in any of the file names. For example, Case Writeup.pdf, ARS-570.pdf. Exhibit samples are shown in the table attached to your email.
- **When you save your .pdf files, DO NOT include .pdf in the file name, it is added when Adobe saves the file.**
- Be sure that the ARS-514 has the current grade on the document and 3 letter peer group code.
- **DO NOT include GS grade on the AD-332**.
- There is no change as to how exhibits are labeled in the case writeup document.
- Many elements and supplements of Factor 4 have either been changed or eliminated. Read the manual carefully. ***New*: Publication list title has changed to Peer-Reviewed Journal Articles and Patents.** Patents will now be moved to the Peer Reviewed list and removed from the Other Publications list.
- Factor 3C should begin on a new page, with the heading as follows:

  Factor 3 **– Guidelines and Originality**

  C. Demonstrated Originality

- **ALL ACCOMPLISHMENT STATEMENTS ARE LIMITED TO A HALF PAGE – NO EXCEPTIONS!!**

UPDATED: 07/25/07

- Factors 1 - 3B constitutes the official position description and must not exceed three (3) single spaced pages.
- ONLY two Exhibits per Demonstrated Accomplishment.
- Submit each exhibit type as follows:

• Journal article/report	• PDF scanned
• Supporting statement	• PDF scanned
• Book	• Hard copy for IDR; PDF-scanned title page and TOC for other panelists
• Model on disc	• Disc
• Videotape	• Videocassette

- Publications are now divided into two sections: *Peer Reviewed Journal Publications* and *Other Publications.* Be sure to draw a line in each section showing pubs since last review.
- NO Abstracts

Items Added to RPES Sharepoint site:

- Case writeup – 1st Draft, MS Word – Final Version, PDF format
- Exhibits, PDF format
- ARS-570 – 1st Draft, MS Word – Final Version, PDF Format. (Be sure to verify your email addresses as ARS personnel are migrated to Outlook)
- Files should be named according to Upload Instructions document attached to your email
- **RPES Sharepoint site: https://arsnet.usda.gov/sites/MSA/RPES/default.aspx**
- ARS-229, Special Form-RGEG Factor 4 (for Supergrade Panel only), Converted to PDF format

Mailed Items

- ARS-514, case writeup cover sheet, hard copy with original signature of employee and supervisor.
- AD-332, position description cover sheet, hard copy with original signature of supervisor only (double sided form).
- Latest copy of the employee's performance plan and AD-435P.
- **Note: The Area Office will retain the ARS-514 and AD-332 if signatures are not needed on the forms and will be sent in with the Final Case writeup. You will not need to send again.**
- Mail the ARS-514, and AD-332 and other documents to:

  Ms. Marlene Coley
  USDA, ARS, Mid South Area Office
  141 Experiment Station Road
  Stoneville, MS 38776

Final Case Writeup Checklist

- **Sharepoint: You only need to upload the final version of your case writeup. You do not have to resend the exhibits unless you have changed something.**
- **If you have made changes to the ARS-570 or an exhibit you will need to upload those documents.**

CHAIRNET Bulletin 07-2

Case Writeup Format Changes

Revised P&P/Manual 431.3-ARS dated December 13, 2006, have now been posted. The revisions incorporate changes necessitated by issuance of the new OPM Research Grade Evaluation Guide (RGEG) in September.

Please note especially the case writeup changes contained in the Manual:

1. Case writeup **factor numeration** has changed from Roman (I-IV) to Arabic (1-4), and **two factor titles** have been changed (Factor 2–Supervisory Controls; Factor 4, Contributions, Impact, and Stature). Note that the factor element substructures have not changed. See Chapter 1 of the Manual.

   Newly finalized case writeups must comply with these changes. Cases already submitted for panel review or recruitment will be "grandfather-ed in."

2. **GS-9 Category 1 position descriptions** must be written in the 9-factor FES format. See Chapter 1 and Exhibit 1 of the Manual.

cc:
AA
AD's
RPES Advisory Committee
Area RPES Contacts
Personnel Reps

(12/06)

08/03/07 Revised **Revised Case Writeup Format CHECKLIST**

<u>(Caution: DO NOT CHANGE format as prescribed in manual – it will not be accepted)</u>

____ ARS-514 Cover Sheet (Paper copy-Original with signatures dated 3/04)
____ AD-332 Position Description form (Paper copy-Original with Signatures)
____ ARS-570 Indepth Reviewer Contact Sheet (Convert to PDF format/CD; dated 2/98) Needs to list Dr. Edgar King, AD, MSA
____ Performance evaluation and Performance Plan

Factor 1 - Research Assignment (*Factors 1 - 3=official pos. description; do not exceed three (3) single-spaced pages;-Gender Neutral).*

A. Assigned Responsibility

Identify the specific NP(s) under which the research is conducted. Example: "Research is a component of ARS National Program 202--Soil Resource Management," or more than one NP," in support of ARS National Programs 106--Aquaculture, and 108--Food Safety."

B. Research Objectives and Methodology

C. Expected Results

D. Knowledge Required - (limit to "brief" list of specific-applicable disciplines/skills needed in **current** assignment).

E. Supervisory Responsibilities – Title & grade of <u>ARS</u> employees; nature of supervision given (technical/administrative); **Need EEO statement from P&P**

Factor 2 – Supervisory Controls (*Gender Neutral*)

A. Assigned Authority
B. Technical Guidance Received
C. Review of Results
D. General Supervision

Factor 3 - Guidelines and Originality (*Gender Neutral*)

A. Available Literature
B. Originality Required

<u>BEGIN NEW PAGE – PAGE 4</u>

Factor 3 - Guidelines and Originality

C. <u>Demonstrated Originality</u>

Brief paragraph **NOT TO <u>EXCEED ½ page</u>**; describe the originality and creativity demonstrated related to **current** assignment. Do not restate details of accomplishments described under Factor IV.

Factor 4 – Contributions, Impact and Stature

Optional **opening** career summary paragraph **<u>limited to 1/3 page</u>** and must not repeat information from demonstrated originality).

A. **Demonstrated Accomplishments (**3> for GS-11 and below; 5> for GS-12; 8 for GS-13 and above)

1. Accomplishment: <u>Must not exceed ½ page.</u> Max number of 2 exhibits per accomplishment (MUST HAVE EXHIBITS). May combine support letters (limit 3) as 1 exhibit **ONLY** with cover memo from Area Dir.; RL's can use leadership letters from cooperators, administrators, NPL's. **Subheadings: Accomplishment / Role / Impact**. **See attached Guide for further information. An asterisk "*" denotes new accomplishment since last review.**

2. Accomplishment: **Additional Accomplishments: Limited to no more than 2 entries in paragraph Format (no tables). ½ page in length; no exhibits permitted.

****Label exhibits before you scan: Ex 1A, 18 (with 18 being the publication number in your Publications List. Do not add .pdf to your file name when you save them to upload to Sharepoint)**

B. **Stature and Recognition** {Use This Format}

1. **Honors and Awards**

Dbl space between each entry
No Bullets
No more than 20 most significant
No performance awards/ Certificates of Merit
Include dates

2. **Special Invitations**

a. Dbl space between each entry
b. No more than 20 most significant
c. Use a., b., c., etc.
d. Include dates

3. **Offices and Committee Assignments Held in Professional and Honorary Societies**

Dbl space between each entry
No more than 20
No bullets or lettering.
Include dates

4. **Participation in Professional Meetings, Technical Conferences, Workshops, etc.**

List each society; state year or years of membership; total number of meetings attended at all echelons; total number of presentations – No presentation Titles need be shown. See Manual.

Dbl space between each and no bullets.

C. **Advisory and Consultant Activities**

1. **Professional Advisory and Consulting Activities**

a. No more than 20 most significant

b. Dbl space between each entry and use a., b., c., format

c. Include dates

2. **Special Assignments** (no more than 20 most significant – Format same as C 1.)

D. **Other**

1. **Educational Background**

Only Professional Degrees – no additional

No bullets or numbering

Include dates.

2. **Research Experience**

Same as D 1. above.

3. **Other Significant Information (See No. 3, page 35 of manual)**

a. Max of 10 significant items; do not exceed 1/3 page for each description.

b. State total number of funded grants, CRADAs, & cooperative agreements covering the career in a paragraph if more than 20.

- Follow above with a bullet list of 20 most significant. <u>Don't list proposals</u>

c. List <u>materials actually submitted for review</u> but not yet accepted; **NO material in other stages of preparation**. **Submission date must be posted in ARIS.**

E. **Publications** **<u>(Start NEW Page)</u>** (see manual -subdivide into 2 sections)

1. **<u>Peer-Reviewed Journal Articles and Patents</u>** (research published or accepted for publishing, include date of acceptance). **Date accepted must also be posted to ARIS.** Multi-authors: Bold SY name and italicize graduate students, postdocs, visiting SY's. Need line separating publications since last review. **<u>NEW</u>**<u>: Patents are to be moved into this list and not in Other Publications.</u>

2. <u>Other Publications</u> (All other work not meeting definition above**)**. ****Abstracts should not be included in this list.**

3. **The ARIS data entry person should print a "Detail by Author Report" for RL/Secretary to review and cross reference entries on the publication list to the ARIS report. In order to count on the publication list, entries in ARIS must have submission/acceptance/published dates entered. If you are listing a publication that has been accepted, you must show the date, not "in press" or "accepted". If you are counting a submitted publication under the heading "Other Significant Information", you must show the submitted date and it should match the date in ARIS.**

4. **Corrections in the title of the publication, authorship order, or any other changes should also be made so that the publication list and the ARIS entries match.**

Basic Instructions for Case Materials
File Naming Conventions

SharePoint has features that limit file naming, and will simply refuse to upload improperly named files. To avoid such problems, please follow these naming conventions:

File	Naming Convention	Note(s)
General: Except as noted below, all files must be converted or scanned into **PDF** format before uploading.		
ARS- 570	ARS-570.pdf	Do not include the scientist's name in **any** file name. Do not add .pdf to file name, it is added when Adobe saves the file.
Case Writeup	Case Writeup.pdf	N/A
Standard convention	Ex 1A 18.pdf	• **CRITICAL**: Do **not** use special characters such as pound (#), ampersand (&), or slash (/ or \) symbols in numbering exhibits; SharePoint will refuse to upload files containing such symbols. 7 • **Leave a space** between the exhibit number and Publications list number. • Do **not** distinguish *type* of exhibit (patent, supporting statement, etc.) in the file name.
Single exhibit	Ex 3 25.pdf	Scientist submitted only one exhibit for a Demonstrated Accomplishment. Do not use "3A" if there is no "3B."
Supporting statement	Ex 8A.pdf	There is no citation to the Publications list.
Executable (.exe) file	Ex 5B 44.zip	**SharePoint will refuse to upload .exe files. Change the file name extension to .zip.**

Upload Instructions

1. You have been granted access to the RPES upload site and may upload case materials at any time to individually named folders under Documents on the left hand column of the page. To accomplish upload:

    a. Click on the scientist's name, which will take you to a page with the same name.

    b. On that page, click on the second (Upload Document) button on the light blue menu bar, which takes you to the Upload Document page.

    c. On the Upload Document page, click on the Browse button to the right of the name entry field and search your files to locate and select the desired case

    d. **OR**, click on Upload Multiple Files, which appears in pale blue font directly below the name entry field, and select files in the usual manner. Click in the box by each file placing a check mark by the files you want to upload. (This is preferred because it saves you significant upload time.)

    e. Click on the Save and Close button on the light blue menu bar, which takes you back to the scientist named page.

    f. You have now finished the uploading task for that scientist's materials, and can exit the site.

Exceptions to Uploading

The following materials cannot be uploaded and must be snail-mailed to Area Office:

Marlene Coley
USDA-ARS-Area Office
P. O. Box 225
141 Experiment Station Rd
Stoneville, MS 38776

- paper originals of completed and signed AD-332 and ARS-514 (original signatures required)
- book exhibit for IDR (supply scanned table of contents as case package exhibit)
- digital video disc or videocassettes

Questions or Problems

If you have any questions about or problems with file naming or the uploading process, please contact Marlene Coley. Discuss technical problems with your IT Specialist.

Print | Route | Save As | Save | To Catalog

POSITION DESCRIPTION COVER SHEET

REASON FOR THIS POSITION

1. NEW	2. IDENTICAL ADDITION TO THE ESTABLISHED PD NUMBER	3. REPLACES PD NUMBER
☐	☐	☐

RECOMMENDED

4. TITLE	5. PAY PLAN	6. SERIES	7. GRADE

8. WORKING TITLE (Optional)	9. INCUMBENT (Optional)

OFFICIAL

10. TITLE

11. PP	12. SERIES	13. FUNC	14. GRADE	15. DATE			16. I/A	17. CLASSIFIER
				MONTH	DAY	YEAR	☐ Yes ☐ No	

18. ORGANIZATIONAL STRUCTURE (Agency/Bureau)

1st	5th
2nd	6th
3rd	7th
4th	8th

SUPERVISOR'S CERTIFICATION

I certify that this is an accurate statement of the major duties and responsibilities of the position and its organizational relationships and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes relating to appointment and payment of public funds and that false or misleading statements may constitute violations of such statute or their implementing regulations.

19. SUPERVISOR'S SIGNATURE	20. DATE	22. SECOND LEVEL SUPERVISOR'S SIGNATURE	23. DATE

21. SUPERVISOR'S NAME AND TITLE	24. SECOND LEVEL SUPERVISOR'S NAME AND TITLE

FACTOR EVALUATION SYSTEM

FACTOR	25. FLD / BMK	26. POINTS	FACTOR	25. FLD / BMK	26. POINTS
1. Knowledge Required			6. Personal Contacts		
2. Supervisory Controls			7. Purpose of Contacts		
3. Guidelines			8. Physical Demands		
4. Complexity			9. Work Environment		
5. Scope and Effect			27. TOTAL POINTS ▶		27.
			28. GRADE ▶		28.

CLASSIFICATION CERTIFICATION

I certify that this position has been classified as required by Title 5, US Code, in conformance with standards published by the OPM or, if no published standard applies directly, consistently with the most applicable published standards.

29. SIGNATURE	30. DATE

31. NAME AND TITLE

32. REMARKS	33. OPM CERTIFICATION NUMBER

MASTER RECORD/INDIVIDUAL POSITION DATA

THIS SIDE TO BE COMPLETED BY THE CLASSIFIER

A. KEY DATA

1. FUNCTION (1)	2. DEPT. CD./AGCY-BUR-CD. (4)	3. SON (4)	4. MR. NO. (6)	5. GRADE (2)	6. IP NO. (8)
A/C/D/I/R					

B. MASTER RECORD

1. PAY PLAN (2)	2. OCC. SER. (4)	3. OCC. FUNC. CD. (2)	4. OFF. TITLE CD. (5)	5. OFF. TITLE (38)

6. HQ. FLD. CD. (1)	7. SUP. CD. (1)	8. CLASS. STD. CD. (1)	9. INTERDIS. CD. (1)	10. DT. CLASS (6)
1 = HQ 2 = FLD	2 = Supv. GSSG 4 = Supv. CSRA 5 = Mgt. CSRA 6 = Leader WLGEG 8 = All Others	X = New Std. Applied Blank = NA	N = No Y = Interdis	MO / DAY / YEAR

11. EARLY RET. CD. (1)	12. INACT / ACT (1)	13. DT. ABOL. (6)	14. DT. INACT / REACT (6)	15. AGCY. USE (10)
1 = Primary 2 = Secondary 3 = Foreign Svc. Blank = NA	I = Inactive A = Active	MO / DAY / YEAR	MO / DAY / YEAR	

16. INTERDIS. SER. (40)

(4)	(4)	(4)	(4)	(4)	(4)	(4)	(4)	(4)	(4)

17. INTERDIS. TITLE CD. (50)

(5)	(5)	(5)	(5)	(5)	(5)	(5)	(5)	(5)	(5)

C. INDIVIDUAL POSITION

1. FLSA CD/PAY TABLE CD	2. FIN. DIS. REQ. (1)	3. POS. SCHED. (1)	4. POS. SENS. (1)	5. COMP. LEV. (4)
E = Exempt N = Nonexempt	0 = None 3 = SF 278 4 = OGE 450	A = Sched A B = Sched B C = Sched C 0 = Excepted but not A, B, C	1 = Low risk/nonsensitive 2 = Noncritical sensitive 3 = Critical Sensitive 4 = Special sensitive 5 = Moderate risk 6 = High risk	

6. WK. TITLE CD. (4)	7. WK. TITLE (38)

8. ORG. STR. CD. (18)	9. VAC. REV. CD. (1)
1st / 2nd / 3rd / 4th / 5th / 6th / 7th / 8th	0 = Position Action No Vacancy A = No Change B = Lower Grade C = Higher Grade D = Different title and / or series E = New Position / New FTE

10. TARGET GD. (2)	11. LANG. REQ. (2)	12. PROJ. DTY. IND. (1)	13. DUTY STATION (9)	14. BUS. CD. (4)	15. DT. LST. AUDIT (6)	16. PAS. IND. (1)	17. DATE EST. (6)
		Blank = N/A Y = Yes	State (2) / City (4) / County (3)		MO / DAY / YEAR	Blank = N/A 1 = PAS	MO / DAY / YEAR

18. GD. BASIS. IND. (1)	19. DT. REQ. REC. (6)	20. NTE. DT. (6)	21. POS. ST. BUD (1)
1 = Rev. when vacant 2 = Impact of Person 3 = Supv. / GSSG 4 = Supv. / Program 5 = RGEG 6 = Policy Analysis GEG	MO / DAY / YEAR	MO / DAY / YEAR	Y = Perm N = Other

22. MAINT. REV. / CLASS. ACT. CD. (2) (1st Digit = Activity and 2nd Digit = Results)

Normal Act	Maintenance Review Act	Results		
1 = Desk Audit	5 = Desk Audit	1 = No Action Req.	5 = Series Change	9 = Other
2 = Supv. Audit	6 = Supv. Audit	2 = Minor PD Change	6 = Pos. Upgrade	
3 = Paper Rev.	7 = Paper Rev.	3 = New PD Req.	7 = Pos. Downgrade	
4 = PME / Activity Rev.	8 = Panel Rev.	4 = Title Change	8 = New Pos.	

23. DT. EMP. ASGN. (6)	24. DT. ABOL. (6)	25. INACT / ACT (1)	26. DT. INACT / REACT (6)	27. ACCTG. STAT. (4)	28. INT. ASGN. SER. (4)	29. AGCY. USE (8)
MO / DAY / YEAR	MO / DAY / YEAR	1 = Inact. 2 = Act.	MO / DAY / YEAR			

30. CLASSIFIER'S SIGNATURE	31. DATE

32. REMARKS

FORM AD-332 (Revised) (4/86)

Research Position Evaluation Case Writeup (Cover Sheet)	**Name of Employee** Table of Contents	**Date**
	Title Return to SOP Main Page	**Series and Grade** Return to SOP Main P
	Organization	**Peer Group Alpha Code**
Supervisor	**Title**	

Privacy Act Notification

General

This information is provided pursuant to the Privacy Act for individuals supplying information for inclusion in a system of records. Section 5107, Title 5, United States Code, authorizes agencies to place positions in the appropriate grade and series in conformance with standards published by the Office of Personnel Management (OPM). The Research Grade-Evaluation Guide (RGEG) published by OPM in accordance with Section 5105, Title 5, provides guidance/criteria for evaluation of research positions. Providing information for Factor 4 is voluntary, but essential to the classification process.

Purposes and Uses

Factor 4 collects information needed to provide a Research Position Evaluation Panel with essential incumbent facts to evaluate the position against RGEG criteria. This information may be disclosed to appropriate officials/employees of the Agricultural Research Service (ARS), USDA Office of Human Resources Management, and OPM, involved in the research position classification process. These data may also be used to aid decisions on placement of research scientists within ARS.

Effects of Nondisclosure

Because Factor 4 of the case writeup contains information which the panel uses to classify your position, providing complete and specific information for each element of the factor is in your best interest. Omission of an item may result in a lower score than otherwise appropriate.

Employee's Signature Date

Clearance

I have reviewed this case writeup and find it to be accurate, complete, and in the prescribed format.

Supervisor's Signature Date

Associate Area Director's Signature Date

INDEPTH REVIEWER CONTACT SHEET

Name of Scientist ___________________________

Contact's Name, Official Capacity and Location	Telephone Number(s) and E-mail Address	Knowledge of Accomplishment(s) Number:

ARS Form 570 (2/98)

United States Department of Agriculture
Research, Education, and Economics

ARS ❑ CSREES ❑ ERS ❑ NASS

Policies and Procedures

Title:	Research Position Evaluation System
Number:	431.3-ARS
Date:	December 13, 2006
Originating Office:	Research Position Evaluation Staff, REE Services Branch, Human Resources Division, AFM/ARS
This Replaces:	431.3-ARS dated 9/27/04
Distribution:	ARS Headquarters, Areas, and Locations (provide a copy to all ARS research scientists and their supervisors)

This P&P establishes policy for the ARS Research Position Evaluation System (RPES). This revision incorporates changes necessitated by recent issuance of the OPM Research Grade Evaluation Guide, and policy decisions made since the 2004 version was published.

Table of Contents

1. Purpose and Coverage

The Research Position Evaluation System (RPES) provides for review of Agricultural Research Service (ARS) Category 1 positions on a cyclical basis to ensure classification accuracy.

The RPES is based on the "person-in-the-job" concept. Under this concept, research scientists have open-ended promotion potential based on their personal research and leadership accomplishments, which can change the complexity and responsibility of their positions.

The RPES applies **only** to ARS Category 1 research positions. Other professional scientific positions are evaluated by application of appropriate U.S. Office of Personnel Management (OPM) classification standards.

2. Delegation of Position Classification Authority

For Category 1 positions **only**, properly appointed Chairs, panelists, and Personnel Representatives are hereby delegated authority to determine **both** the propriety of coverage by the Research Grade Evaluation Guide (RGEG) and the appropriate grade level for positions in accordance with procedures established herein. The Personnel Representative will exercise signatory authority for the panel.

3. Panel Administration

General

Panel administration is the responsibility of the Head, Research Position Evaluation (RPE) Staff, Human Resources Division (HRD). That official will monitor system operations to ensure ARS-wide consistency and compliance with policies and procedures and will also administer the RPES travel budget.

Panelist Training

The RPE Staff will conduct periodic training sessions to ensure an adequate pool of qualified Research Position Evaluation Committee (RPEC) members to meet panel service needs. Training will provide a thorough orientation to the RPES, RGEG, sample cases for evaluation, and observation of actual panels.

Scheduling of Panels

The RPE Staff will prepare draft fiscal year schedules based upon cyclic reviews due that year and requested reviews approved by the Area Directors (AD).

The schedule will indicate names of scientists whose positions are to be reviewed, names of panelists and Chairs, panel meeting date, and the mandatory cutoff date for final case writeups to be received by the AD.

The schedule will be sent to the AD's for approval of Chair/panelist designees and confirmation of cases to be reviewed. Coordination among AD's is required when reviewing draft schedules. AD's must designate substitutes for Chairs/panelists who they determine are not available or not appropriate to serve as scheduled.

Case Writeup Submission Notice

At least 90 calendar days before the final case writeup is due in the AD's office, the RPE Staff will issue (through channels) a specific notice to the supervisor of each scientist whose position is scheduled for review.

4. Panel Review Requirements

General. Reviews are either mandatory or requested.

Mandatory Reviews

Cyclic Reviews

Except as noted below, research positions will be reviewed by panels on a cyclic basis to ensure continued accuracy of classification. Positions will be scheduled for review within 6 months (before or after) the anniversary date of the last panel review or other classification decision (including initial appointment to the position) in accordance with the following schedule:

Maximum Interval Between Reviews	
Current Grade	**Maximum Interval**
GS-12 and below	3 years
GM/GS-13	4 years
GM/GS-14 and above	5 years

Note: Scientists serving in **ARS overseas research assignments** are reviewed by RPES panels in accordance with the regular mandatory cycle while serving in such assignments.

Exceptions

No Category 1 position will be subject to panel review if the performance rating of record is **less than "Fully Successful" on a Critical Element** or if management will assign such a rating before the scientist's case is reviewed. Immediate supervisors are responsible for notifying the AD and RPE Staff of such rating or probable rating. The position will be rescheduled for review by the next available panel once the performance problem has been resolved.

Research positions filled by appointment under demonstration project authority (and subject to the 3-year extended probationary period) will not be reviewed until a tenure determination has been made. Exceptions to this policy may be made for reasons acceptable to the AD and the Director, HRD. Justifications for exception must be submitted by AD's to the RPE Staff, which will advise the Director on approval.

Category 2 research positions are excluded from the RPES and the mandatory review cycle. However, when management wishes to have the incumbent of a Category 2 research position reappointed at a higher grade level, the position will be reviewed upon notification of RPE Staff.

- Proposed allocation to GS-12 or below will be reviewed by the servicing Human Resources Specialist.

- Proposed allocation to GS-13 or above will be reviewed by a panel. The RPE Staff will schedule the position for review by the next available panel in the scientist's peer group.

- Grade level upon initial appointment to a Category 2 research position will be determined based on the same grade level distinctions explained above.

When a Category 1 scientist occupying a Research Leader position voluntarily accepts a nonsupervisory Category 1 assignment, assignment change will be made without panel review. Incumbent's mandatory panel review date will be set no earlier than 5 years from the effective date of assignment change.

Incumbents of Category 1 positions covered by internship or other formal Agency developmental programs may be promoted without panel review, based on supervisory certification, through grade GS-12. **However**, no incumbent may be promoted to GS-12 without panel review **until** the Ph.D. degree has actually been conferred.

Filling Vacant Research Positions

A vacant research position may be filled through various routes. It may also be filled at any one of several grade levels depending upon the level of qualifications of the person selected. Therefore, before it is filled, the grade of a vacant position must be determined with the selectee's qualifications fully considered.

Certain minimal information required by the RGEG's "impact-of-the-person-in-the-job" concept is not provided in the vacancy application. This supplemental material may be provided in either "streamlined" or--when allocation at GM/GS-13 and above is desired--standard Factor 4 format, at the selecting official's discretion.

The final grade level will be determined (using RGEG Factor 4) by either an ad hoc panel or a Human Resources Specialist. Method of review is dependent on the grade level proposed for the selectee and whether the selectee already occupies an ARS research position. **See Exhibit 2**.

Requested Reviews

Early Review. Scientists or their supervisors may request review by an RPES panel before the cyclic review is due when there has been a significant change which may affect the grade level of the position. Approval for early review may be requested **no earlier than 1 year after the scientist's last review**. All requests for early review must be submitted through supervisory channels to the AD for consideration/approval. If disapproved at any level, the disapproving office will provide an explanation to the scientist.

Delayed Review. Scientists or their supervisors may request delayed review for justifiable reasons, such as prolonged illness, mobilization for military service, or other absence from the worksite during the notice period. Except in unusual circumstances, the maximum delay is 6 months after the scheduled panel review date. **Delayed review will not be approved solely to allow time for acceptance of publications, patents, etc.** All requests for delayed review must be submitted through supervisory channels to the AD for consideration/approval. If disapproved at any level, the disapproving office will provide an explanation to the scientist.

Reevaluation. Scientists or their immediate supervisors who are dissatisfied with the latest panel decision may make a written request to reevaluate (repanel) the decision. All requests for reevaluation must be submitted through supervisory channels to the AD for consideration/approval **within 60 calendar days after issuance of the panel report**. If disapproved at any level, the disapproving office will provide an explanation to the scientist. A case may be reevaluated only once within the review cycle appropriate to the employee's grade level.

Scheduling. Upon notification of approval of a requested review, the RPE Staff will issue a specific case submission notice. Positions approved for early or delayed review, or reevaluation, will be scheduled for the next available panel for the employee's peer group. "Availability" is a function of variables such as panel composition and workload. Employees should, therefore, neither expect nor request to be reviewed at a **specific** meeting.

Classification Appeals

Category 1 employees through grade GS-14 may appeal the classification of their positions to either the USDA Office of Human Capital Management (OHCM) or OPM. GS-15 researchers may appeal only to OHCM. Appeal procedures are explained in P&P 431.1, Position Classification and Position Management.

5. Panel Composition

General. Planning of each panel will:

- Provide for assignment of cases on a zonal basis. Positions in the North Atlantic, Beltsville, South Atlantic, and Mid South Areas constitute Zone I. Positions in the Southern Plains, Northern Plains, Pacific West, and Midwest Areas, and the Office of International Research Programs, constitute Zone II. Zone crossing is routine in order to improve panel composition and workload balance.

- Never include a panelist whose case is to be reviewed at the meeting.

- Ensure scientific discipline (peer group) diversity in representation to allow for greater objectivity in decision making. Peer scientists from two different peer groups will serve on each panel.

- Avoid selecting panelists who have a supervisor/subordinate relationship with any incumbent whose position is being reviewed.

    - When, despite due diligence, panel composition requirements necessitate service by panelists who have a supervisor/subordinate relationship with any position being reviewed, the supervisor or subordinate will be excused from the meeting during the evaluation of the subordinate's or supervisor's case.

    - There is no comparable restriction on a panelist reviewing a coworker's case.

- Avoid situations which require the Chair to perform indepth review (IDR) of any position.

Note: In the event of panel cancellation due to inclement weather or other unavoidable causes, the assigned panelists will be convened at the earliest possible time to complete their task.

Peer Group members will:

- Include Category 1 scientists in grade GM/GS-13 or above who will serve indefinite terms of appointment.

- Usually not be subject to panel duty more than once a year. This does not, however, preclude an employee from occasionally serving on a panel more than once a year in the event of a special ARS need.

- Complete mandatory training before being allowed to serve.

- Be required to serve on panels to which assigned except for instances of illness, family emergency, or other compelling reason acceptable to the AD.

Personnel Representative will:

- Be an ARS Human Resources Specialist GS-11 or above, familiar with ARS research organizations and programs.

- Complete mandatory training before being allowed to serve.

- Be a continuing member of the RPEC and participate as a voting member in all panel meetings to which assigned.

- Provide technical personnel advice at panel meetings and be responsible for ensuring consistency and continuity of RPES operations on such panels.

- Exercise classification authority with respect to title, series, and other non-grade level aspects, and finalize all classification documentation resulting from panel decisions. This includes finalizing the panel report to document the panel's decision.

Chair will:

- Complete mandatory training before being allowed to serve.

- Preside over individual panel meetings.

- Assign specified cases to individual panelists for indepth review prior to meeting.

- Share responsibility with the Personnel Representative for ensuring consistency and continuity of panel operations.

6. Confidentiality Requirement

The content of all indepth review factfinding interviews will remain **absolutely confidential**. The IDR will not disclose this information to any person outside the panel meeting.

All panel deliberation of individual cases will be kept **absolutely confidential**. Panelists and observers (panelist trainees) will not divulge details or results of deliberations. All questions regarding decisions or determinations will be referred to the Personnel Representative.

The identity of RPEC members who served on a specific panel is confidential information and not subject to release.

Violations of the confidentiality policy will be handled in accordance with disciplinary procedures.

> **Note**: The confidentiality policy does **not** apply to answering inquiries from official investigators or Equal Employment Opportunity Counselors.

7. Panel Decision Options

General. Authorized panel decision options are explained in **Exhibit 3**.

Panels must decide and document one of the authorized decision options for each position assigned for review. **Panels are not authorized to "nondecide" a case.**

Assignment of Levels and Points. In evaluating research positions:

Panels will assign only the full levels and corresponding point values established in RGEG Levels A, B, C, D, and E, or in USDA Level F.

Assignment of odd number points or split levels is **not** authorized**.**

Supervisory Research Positions. In some instances, the supervisory component of a research position may be grade determining. Application of the OPM General Schedule Supervisory Guide (GSSG) is the responsibility of the servicing Human Resources Specialist, not the RPES panel. Grades derived by GSSG application are irrelevant for RGEG application.

8. Preparation and Submission of Evaluation Materials

Case writeups serve as the basis for research position evaluation. They include a description of the incumbent's duties and responsibilities and personal data which show the incumbent's contributions, stature, and recognition.

Prescribed case writeup format, and procedures for review, approval, and submission to RPE Staff, are detailed in Chapter 7 of Manual 431.3-ARS.

No entry at variance with prescribed format will be accepted. Noncompliant writeups will not be accepted by the Area Office.

Disagreements on writeup content should be resolved at the lowest level possible. If agreement cannot be reached, **the version submitted will appear as the AD directs**, and a signed statement of disagreement from subordinate and/or supervisor may be attached.

No person will include in the case writeup or exhibits any statement recommending promotion or other action, or mention work habits, attitude, or personality.

Scientists may **update** any portion of their case writeup up to the day the panel actually meets (approximately 2 months after the cutoff date). Updates are to be e-mailed directly to the RPE Staff **with a copy to the AD**.

> **Note**: The provision for updating case writeups does **not** permit substitution of Demonstrated Accomplishments or exhibits.

9. Supergrade Evaluation Panels

An ARS-wide Supergrade Panel will be scheduled at least annually to perform:

- Cyclic review of current ST positions;
- Cyclic review of GM/GS-15 positions scored at 54 points by a previous Supergrade Panel;
- Referral review of GM/GS-15 positions scored 56 points or higher by a regular panel (termed "panel referral"); and
- Referral review of GM/GS-15 positions scored at 54 points or higher by a regular or Supergrade Panel at any time during the GM/GS-15 scientist's 5-year mandatory review cycle at the AD's discretion (termed "management referral").

The Supergrade Panel will consist of seven members: Associate Administrator for Research Operations and Management (AA-ROM) or designee as Chair; Head, RPE Staff or designee as Personnel Representative; and five current Supergrade RPEC members or panel Chairs.

With the exception of required completion and submission of ARS Form 229 (Special Form - Factor 4, Level F Criteria), standard panel procedures will apply to Supergrade Panel operations. **See Manual 431.3-ARS.**

> **Note**: GM/GS-15 positions kept in grade by the Supergrade Panel with a score of 52 or fewer points will be reviewed under the normal cyclic schedule by a regular panel. Those scored at 54 points will be reviewed under the normal cyclic schedule by a Supergrade Panel.

10. Panel Review Records

The RPE Staff will maintain a research file on each Category 1 scientist. This file will consist of a copy of the latest case writeup (less exhibits); a copy of the current official position description with a fully completed Form AD-332, Position Description Cover Sheet, attached; copies of pertinent correspondence; and panel reports.

Research files maintained by the RPE Staff are subject to the provisions of both the Privacy Act and the Freedom of Information Act.

Personal information required for classification of research scientist positions under the RGEG is solicited in accordance with the Privacy Act. Authority, principal purpose, routine uses, and effects on the individual of nondisclosure of personal information are explained in ARS Form 514, Research Position Evaluation Case Writeup (Cover Sheet).

The case writeup cannot be released without the written consent of the incumbent for any purpose other than position evaluation, decision on internal placement within ARS, or in compliance with the Freedom of Information Act and conditions of disclosure stated in the Privacy Act.

Copies of a scientist's panel evaluation records maintained by ARS are available to the scientist upon written request.

11. Summary of Responsibilities

Research scientists

- Learn system requirements.
- Affiliate with one of the ten Peer Groups shown in Exhibit 1.
- Prepare case writeups in accordance with Manual 431.3-ARS.

Supervisors

- Assist scientists in preparing case writeups.
- Review and certify case writeup accuracy and completeness.
- Notify AD and RPE Staff of less than "Fully Successful" Critical Element performance ratings of research scientists scheduled for panel review.
- Serve as a mandatory IDR contact.

Area Directors

- Perform final review and certify case writeups for accuracy and completeness.
- Approve fiscal year panel review schedules in conjunction with other AD's.
- Consider and rule on early, delayed, and reevaluation requests.
- Determine whether to refer GM/GS-15 positions scored at 54 points or higher by a regular or Supergrade Panel for Supergrade Panel review.
- Forward RGEG score results to scientists' supervisors after panel meetings.
- Resolve Grade/Category Problem panel decision situations.
- Nominate Area representative to the RPES Advisory Committee.

Note: AD's may delegate the above authorities to their respective Associate or Assistant AD's. Hereafter, "AD" should be understood to include Associate or Assistant AD's where such delegation has occurred.

Associate Administrator for Research Operations and Management

- Designates peer groups, appoints peer scientists to the RPEC from each established peer group, and designates Chairs.
- Resolves Split Decisions.
- Approves Grade/Category Problem correction plans and subsequent position review.
- Appoints RPES Advisory Committee members and selects the Chair.

Administrator

- Delegates position classification authority to RPES panels to determine RGEG coverage and proper grade level of positions under review.

RPES Advisory Committee

- Advises the Administrator and AA-ROM on major policy and procedural aspects of RPES.

Head, RPE Staff

- Administers RPES on a national basis.
- Provides staff support to the Administrator and AA-ROM on RPES matters.
- Provides staff support to the RPES Advisory Committee.
- Advises scientists and supervisors on preparation of case writeups and related matters.

Panelists

- Serve when scheduled.
- Evaluate positions based on approved evaluation criteria.
- Conduct thorough and objective IDR factfinding.
- Maintain confidentiality of IDR contacts and panel deliberations.

12. Glossary

AA-ROM. Associate Administrator for Research Operations and Management.

AD. Area Director.

AD-332. (Available in e-Forms.) Position Description Cover Sheet.

ARS-229. (Available from the RPES Internet Home Page.) Special Form - Factor 4, Level F Criteria.

ARS-514. (Available from the RPES Internet Home Page.) Research Position Evaluation Case Writeup (Cover Sheet).

ARS-516. (Available from the RPES Internet Home Page.) Research Position Evaluation Worksheet.

ARS-517. Research Evaluation Score Sheet.

ARS-570. (Available from the RPES Internet Home Page.) Indepth Reviewer Contact Sheet.

Case Writeup. The research position description (see definition below), Factor 4, exhibits, forms ARS-514, ARS-570, and (for Supergrade Panels) ARS-229, considered as a package.

Category. An ARS system of administrative designations for groups of positions having generally similar characteristics, primarily for personnel and budgetary tracking purposes. Category has no legal or administrative significance outside of ARS. Some positions may perform duties from more than one category. ARS categories established for professional scientific positions are as follows:

- **Category 1 (Research Scientist).** Permanent scientific and engineering positions in which the highest level of work, for a major portion of time, involves personal conduct or conduct and leadership of investigations that have one or more of the following objectives: to determine the nature, magnitude, and interrelationships of physical, biological, psychological, social, and other comparable phenomena and processes; to create or develop empirical, theoretical, or experimental means of investigating such phenomena and processes; or to develop principles, criteria, methods, and data of general applicability. Such positions meet the Research Responsibility criteria outlined in the RGEG. Category 1 positions are SY positions.

- **Category 2 (Nonpermanent Research/Service Scientist).** Professional scientific positions which are established on a nonpermanent basis, are filled through temporary or term appointments, and entail research and/or service science work. Examples are Research Associate, Research Affiliate, Visiting Scientist, and individuals reemployed in ARS after having retired from Category 1 or Category 4 positions.

- **Category 3 (Support Scientist).** Professional scientist positions which function to provide direct support or service to one or more Category 1 or 4 positions. The work of such positions is characterized by responsible involvement in one or more, but not all, phases of research (particularly not the problem selection and definition phases); responsible participation in analysis and preliminary interpretation of data (but not including responsibility for final interpretation and conclusion which relate the results to the field of research involved). Examples include but are not limited to conducting literature searches, selecting procedures and conducting experiments, collecting and analyzing data or specimens, or preparing technical reports.

- **Category 4 (Service Scientist).** Permanent positions whose incumbents either primarily or exclusively serve as project or program leaders over or personally perform, work assigned to ARS involving professional scientific services to the public or to other governmental agencies, such as: identification of animals, plants, or insects; diagnosis of diseases; mass production of plants, animals, or insects; collection, introduction, and maintenance of germplasm or specimens; vaccine production; education, extension, or technology transfer activities; or nutrient data and food intake surveys. Category 4 positions are SY positions.

- **Category 6 (Specialist).** “Specialist" positions which perform scientific program management, administration and/or analytical duties and therefore, require professional education and training. Examples are: Area Director, Center Director, Agricultural Administrator, and National Program Leader.

CD. Center Director.

Chair. An ARS official designated to lead (but not direct) panel deliberations. The Chair also acts as the management representative on the panel. Chairs are usually supervisory or managerial personnel, such as Research Leaders, Laboratory Directors, Center Directors, or Associate Area Directors.

GM. General Schedule employees in the former Performance Management and Recognition System.

GS. General Schedule.

GSSG. OPM General Schedule Supervisory Guide.

HRD. Human Resources Division, ARS.

IDR. Indepth Review or Reviewer.

Indepth Reviewer. A panelist designated to conduct the factfinding for one or more cases to be considered by a given panel.

LD. Laboratory Director.

Leadership. For RPES purposes, is either formally recognized leadership--Level I, II or III as defined in Manual 431.3-ARS--**or** scientific leadership (apart from any supervisory or managerial duties) which reflects a researcher's personal stature and promotes research activity on the part of other scientists.

Mixed Position. For RPES purposes, a position performing duties classifiable by two or more standards, e.g., the RGEG and GSSG.

New Hire. For RPES purposes, a selectee for Career or Career-Conditional appointment to a Category 1 position. Persons serving in an ARS position on other than Career or Career-Conditional appointment are therefore considered "New Hires," regardless of length of service under such other appointment.

OHCM. Office of Human Capital Management, USDA.

OPM. U.S. Office of Personnel Management.

Panel. A group of RPEC members chosen to review and determine the proper category and grade level of positions currently designated as Category 1, using criteria of the RGEG. Panels exercise delegated classification authority and render final (not advisory) grade level decisions.

Panelist. A member of the RPEC (Chair, Peer Scientist, or Personnel Representative) assigned to serve on a particular panel.

Peer Group. A group of research scientists in similar fields of research who can make valid judgments on research methodology, available literature, and the significance and impact of research findings in their respective fields. Research scientists self-affiliate with the peer group most appropriate for their research discipline and may change their affiliation at any time by notifying RPE Staff. **See Exhibit 1.**

Peer Scientist. A research scientist assigned to serve on a panel.

Personnel Representative. An ARS Human Resources Specialist assigned to serve on a panel.

Position Description. For RPES purposes, the position description consists of Factors 1 and 2, and Factor 3-A and 3-B of the case writeup. Factor 3-C and Factor 4 are not part of the position description (see **Manual 431.3-ARS**).

Research Affiliate. See Category 2 above.

Research Associate (Post-Doctoral). A Category 2 position, funded by the Office of the Administrator or locally for up to 2 years, filled by a professional scientist who received a Ph.D. within 3 years of appointment. Incumbents of such positions serve on a nonpermanent appointment to perform projects of a limited nature which are segments of broader projects assigned to senior ARS research scientists.

Research Associate (Visiting Scientist). A Category 2 position normally filled by a senior scientist or technical expert who performs research in an ARS facility on a short-term basis. Such scientists may be on leave of absence (sabbatical) from their parent organization. The positions are locally funded and do not represent a plan or promise of continued employment.

Research Position Evaluation Committee. All persons trained and appointed to serve on ARS RPES panels (Chairs, Peer Scientists, and Personnel Representatives).

RGEG. OPM Research Grade Evaluation Guide.

RL. Research Leader.

RPE. Research Position Evaluation.

RPEC. Research Position Evaluation Committee.

RPES. Research Position Evaluation System (or Staff).

RPES Advisory Committee. A committee which advises the Administrator and AA-ROM on major policy and procedural aspects of RPES. It consists of a Chair and seven members selected from among panel-experienced Research Leaders and research scientists. Head, RPE Staff (or designee) serves as an *ex officio* member of, and staff advisor to, the committee. Committee composition provides for a mix of ethnic, sex, discipline, and Area representation.

Scientist Year. An ARS administrative designation for Category 1 and 4 scientist positions. SY positions comprise the core mission workforce in ARS.

ST. Scientific and Professional Pay Plan.

SY. Scientist Year (Category 1 or 4 position).

EDWARD B. KNIPLING
Administrator
Agricultural Research Service

Exhibit 1 - Peer Groups

Peer Group and Code	Typical Areas of Research	Typical Disciplines
Animal Bioscience (ABS)	Animal bioscience; animal biology, genetics, physiology, production, and related fields of animal science; and range and feed nutrition science	Animal physiologists, animal scientists and animal geneticists
Animal Health (AHL)	Animal pathology, toxicology, microbiology, virology, pharmacology, zoology, parasitology, nematology and veterinary sciences	Veterinarians, animal pathologists, microbiologists, pharmacologists and toxicologists
Chemistry and Chemical Engineering (CCE)	Biochemistry; analytical, physical, organic, and inorganic chemistry; chemical engineering; pharmacology; and toxicology	Chemists and chemical engineers
Entomology (ENT)	Entomology as related to plants, animals, humans, or agricultural products; insecticide analysis and chemistry; insect genetics; invertebrate pathology; and microbiology	Entomologists, chemists and microbiologists
Food Science and Human Nutrition (FHN)	Food and nutritional science and technology; food processing, engineering, fortification, composition analysis; food safety, toxicants; nutritional requirements; nutrient bioavailability to humans; and medical aspects of nutrition	Nutritionists, food technologists, physiologists, biochemists, microbiologists and chemists
Plant Bioscience (PBS)	Genetics, weed science, horticulture, plant physiology, microbiology, biochemistry and biophysics; agronomy; environmental, systematic and applied crop production biology; nutrition and plant metabolism; feed science; range science, range production, conservation and management; and arid pasture management	Plant physiologists, agronomists, geneticists, horticulturists, botanists, plant biochemists, range scientists and animal scientists *Continued on next page*

Peer Group and Code	Typical Areas of Research	Typical Disciplines
Plant Health (PHL)	All aspects of plant health; immunology; entomology (arthropod as vectors); nematology; zoology; parasitology; pathology; virology; pest resistance; and breeding	Plant pathologists, zoologists, nematologists, agronomists and horticulturists
Pre/Post-Harvest Science, Engineering (PHS)	Sciences and technology related to facilities, structures, containers, modes of transportation; harvesting, storage, marketing, conditioning, treatment, transportation and preservation; processing and use of commodities and agricultural byproducts	Agricultural, chemical, mechanical, industrial engineers, physiologists, entomologists, pathologists, biochemists and chemists
Soil and Water Science (SWS)	Soil management and fertility and plant nutrition chemistry; soil physics and microbiology; waste management; environmental quality aspects of soil, water and air resources; environmental, civil and agricultural engineering; hydrology; geology and geography as they relate to soil and water management; and environmental quality	Soil scientists, physicists, microbiologists, chemists, hydrologists, civil and agricultural engineers and geologists
Systematics/Taxonomy (STX)	Arthropod, plant, microbial, and plant and animal parasite systematics and taxonomy	Systematists and taxonomists

Exhibit 2 - Filling Vacant Research Positions

<table>
<tr><th>Method of Filling</th><th>First Consideration</th><th>Second Consideration</th></tr>
<tr><td>New Hire</td><td>Servicing Human Resources Specialist exercises delegated classification authority without panel review for:

■ Initial appointment of non-Ph.D. at GS-9 either by reassignment of current ARS employee or selection from a certificate of eligibles

■ Initial appointment of Ph.D. at GS-11 or -12 from a certificate of eligibles when the Specialist judges selectee's qualifications meet RGEG criteria for the desired grade (when this condition is not met, Specialist may require the case be paneled)

■ Selection at GS-11 or -12 of an ARS employee who has not previously occupied a Category 1 position (Agency Merit Promotion Plan requires that such employees compete for movement to a Category 1 position; noncompetitive "conversion" is not authorized)</td><td>Panel review (usually ad hoc) is required for:

■ Selection at GS-11 or above of non-Ph.D. (including DVM)

■ Selection for positions at GS-13/15 from a certificate of eligibles of an individual who does not currently occupy a Category 1 position (regardless of source)

■ Selection for positions at GS-13/15 of an on-board Category 1 scientist who has never previously held that grade</td></tr>
<tr><td>Reassignment

Definition (for RPES purposes)--any significant change in duties and responsibilities without grade impact, such as change in organization, location, or type of research; addition or deletion of supervisory duties; or changes made to existing position description</td><td>Servicing Human Resources Specialist will review and approve actions which will not result in grade changes

Apparent grade change situations must be referred to RPE Staff for panel review</td><td>When researcher is selected for a Research Leader position and upgrade appears likely under RGEG criteria, panel must determine grade level before appointment

See page 6 of this P&P for procedure when a Research Leader voluntarily accepts a nonsupervisory Category 1 assignment

Continued on next page</td></tr>
</table>

Method of Filling	First Consideration	Second Consideration
Transfer **Definition (for RPES purposes)**--a change of an employee, without a break in service, to a research position in ARS from a research position in another Federal agency	When no grade change is involved, servicing Human Resources Specialist assigns grade	When a **higher** grade is requested, must be paneled
Reinstatement	To reinstate at GS-12 and below, servicing Human Resources Specialist assigns grade	To reinstate at GS-13 and above, panel review is required
Return from Overseas Assignment	Scientists returning from an ARS overseas **research** assignment will be treated as a Reassignment	Scientists returning from an ARS overseas **nonresearch** assignment will be returned to a Category 1 position at the overseas grade **if** supportable (Reassignment), or paneled as a New Hire

Exhibit 3 - Panel Decision Options

Decision Option/Code	Meaning
Upgrade (UPG)	Scientist is performing sufficient high-quality research to positively impact the position grade level, or the research and research leadership component of a mixed position. If the position is mixed, it is classified to the highest grade level consistent with mixed position classification principles. If promotion results from the Upgrade, the promotion action is effected ASAP but within 2 pay periods. Except in those rare instances when an incumbent has previously held an RGEG-based grade two or more levels higher than the current grade, position may be upgraded no more than one grade level. **Note**: Grades of mixed position components derived from any standard other than the RGEG (such as the GSSG) are irrelevant for panel purposes, and are not considered in applying the RGEG.
Remain in Grade (RIG)	Scientist is performing at a level of quality/quantity sufficient to maintain current position grade level. Panel may find evidence of emerging productivity problems which could adversely affect scientist's impact, stature and recognition--perhaps resulting in a Grade/Category Problem decision on a future panel review if not addressed. A "bottom of grade" point score may indicate that the panel has identified emerging productivity problems. Panel report will specify such problems when encountered.
Grade/Category Problem (GCP)	The panel is unable to evaluate the position at or above its current grade level, and concludes that a significant position management or performance problem may exist. Within 30 calendar days of issuance of the panel report, management will: (1) determine the nature and cause of the problem (with input from the servicing Human Resources and Employee Relations Specialists, and/or National Program Leader); (2) determine corrective action needed; (3) prepare a correction plan, to be satisfied no later than 1 year from the date of the GCP decision; and (4) submit the plan to the AA-ROM. If the position remains in Category 1, it will not be paneled again until the Area Director certifies to the AA-ROM that corrective action has been successful.
Insufficient Factual Basis (IFB)	Panel does not have sufficient factual information to render a fair evaluation applying RGEG criteria. Case may be overwritten ("science fiction") or underwritten (inadequate clarity), or there may be major unresolved discrepancies between case writeup content and IDR factfinding report. In a few rare instances, facts may be so unclear that the panel cannot determine whether position ***is*** covered by the RGEG. Panel report must identify unresolved discrepancies and direct that case be rewritten and submitted for evaluation to next available panel for the scientist's peer group. RPE Staff will issue a formal resubmission notice.
Refer to Supergrade (REF)	When a "regular" panel assigns total of 56 or more points to GM/GS-15 position, position is automatically subject to review by next Supergrade Panel. Factor 4 **must** be scored at level F (24 points). Only the REF decision itself is recorded, not the points assigned by the referring panel. RPE Staff will issue a formal submission notice.

Decision Option/Code	Meaning
Split Decision (SPL)	This is the only non-consensus decision option. Panel cannot unanimously agree on proper evaluation of all four factors, or whether RGEG is applicable, and/or contents of final panel report. Majority/minority reports are filed with RPE Staff for resolution by AA-ROM.

United States Department of Agriculture
Research, Education, and Economics

ARS ❑ CSREES ❑ ERS ❑ NASS

Manual

Title: RPES Case Writeup Preparation and Guidance for Panelists

Number: Manual 431.3-ARS

Date: December 13, 2006

Originating Office: Research Position Evaluation Staff, REE Services Branch, Human Resources Division, AFM/ARS

This Replaces: Manual 431.3-ARS dated 10/23/98

Distribution: ARS Headquarters, Areas, and Locations (provide a copy to each ARS research scientist)

This Manual provides detailed guidance for (1) preparing case writeups for panel review, and (2) determining the grade level of positions covered by the ARS Research Position Evaluation System (RPES). This revision incorporates changes necessitated by recent issuance of the OPM Research Grade Evaluation Guide, and policy decisions made since the 2004 version was published.

Table Of Contents

Part II - Evaluation Guidance

Introduction

Part I of this Manual explains information which Research Position Evaluation System (RPES) panelists must have to make fair and equitable classification decisions. Information on individual positions and incumbents will be submitted according to the outline detailed below, which is compatible with the format of the U.S. Office of Personnel Management (OPM) Research Grade Evaluation Guide (RGEG). The standardized format is an important feature in assuring consistent and equitable evaluation throughout ARS. Case material will be reviewed for adherence to format. Inaccurate, incomplete, or improperly prepared writeups will be returned for revision.

> **Note: With the exception of required completion and submission of ARS Form 229, standard panel procedures will apply to Supergrade Panel operations.**

Part II of this Manual provides detailed procedures and evaluation tools which RPES panelists need to know in order to serve effectively on mandatory and ad hoc panels. Included are:

- panel procedures (including report preparation),
- indepth review(er) (IDR) guidelines,
- the OPM RGEG, and,
- additional guidance on interpreting the RGEG and crediting patents.

Reference

Basic RPES policies are explained in P&P 431.3-ARS.

Part I - Case Writeup Preparation

Chapter 1: Case Writeup Formats

For GS-11 and Above Positions

Cases are to be prepared in the format shown below. Numbers in parentheses refer to pages in this Manual where the topic discussion is to be found.

Factor 1 - **Research Assignment** (p. 8)

A. **Assigned Responsibility** (p. 8)

B. **Research Objectives and Methodology** (p. 9)

C. **Expected Results** (p. 9)

D. **Knowledge Required** (p. 9)

E. **Supervisory Responsibilities** (p. 9)

Factor 2 - **Supervisory Controls** (p. 11)

A. **Assigned Authority** (p. 11)

B. **Technical Guidance Received** (p. 11)

C. **Review of Results** (p. 11)

D. **General Supervision** (p. 11)

Factor 3 - **Guidelines and Originality** (p. 12)

A. **Available Literature** (p. 12)

B. **Originality Required** (p. 12)

C. **Demonstrated Originality** (p. 12)

Factor 4 - **Contributions, Impact, and Stature** (p. 13)

A. **Demonstrated Accomplishments** (p. 13)

B. **Stature and Recognition** (p. 31)

1) Honors and Awards
2) Special Invitations
3) Offices and Committee Assignments Held in Professional and Honorary Societies
4) Participation in Professional Meetings, Technical Conferences, Workshops, etc.

C. **Advisory and Consultant Activities** (p. 33)

1) Professional Advisory and Consulting Activities
2) Special Assignments

D. **Other** (p. 34)

1) Educational Background
2) Research Experience
3) Other Significant Information

E. **Publications** (p. 37)

1) Peer-Reviewed Journal Publications
2) Other Publications

For GS-9 Positions

Within Category 1, GS-9 is used exclusively for recruitment purposes. Follow the model format provided in **Exhibit 1.** Position descriptions must be prepared in the Factor Evaluation System (9-factor) format because the RGEG provides no grading criteria below GS-11. Contributions, impact, and stature are not significant position features at GS-9.

All other instructions in this Manual apply only to GS-11 and above positions.

Chapter 2: General Guidance

Before preparing your case writeup, review this Manual and the RGEG to gain an understanding of each factor's evaluation objective.

Do not modify, omit, or add section headings or subheadings to the format outlined above. Each element of the format must be included in the case writeup. If there is nothing to report under an element, enter "None."

In writing Factors 1, 2, and 3 use gender-neutral terms and style instead of saying "he," "she," "his," or "her." Begin sentences with action verbs (the subject is understood). Write **brief** narrative paragraphs following the outline shown above.

All pages following the first page of the case writeup **must** be numbered.

Typing Specifications. Case writeups must:

- be typed single-spaced;
- be typed with a minimum font size of Times New Roman 12 or equivalent;
- have minimum of 1" margin on all sides; and
- adhere to length specified herein for individual elements and subelements.

Caution: No entry at variance with prescribed format will be accepted. Noncompliant writeups will not be accepted by the Area Office.

Remember: Undue detail, verbosity, and needless repetition will weaken rather than strengthen your case writeup!

Chapter 3: Factor 1, Research Assignment

Note: Factors 1 through 3-B constitute the official position description **and must not exceed three (3) single-spaced pages** in length. They describe the position's **current** characteristics; i.e., over the next 3-4 years. Factors 3-C and 4 complete the case writeup.

This factor is documented and evaluated via five elements lettered A-E.

A. Assigned Responsibility

Identify the organization, location, general area of work (including scope and research approach), and the specific National Program(s) under which the research is conducted (i.e., "This research is a component of ARS National Program 202--Soil Resource Management," or "This research is conducted in support of ARS National Programs 106--Aquaculture, and 108--Food Safety.") The limits or boundaries of the area of work should be clearly stated. (The specific objectives within the area are covered in the next paragraph.)

If the assignment is new–entered into within the past 4 years–so indicate; i.e., "This assignment is new since October 2006." **This entry is not applicable for the first post-hire panel review**.

When appropriate, state if you are a team member or a team leader.

If you are assigned one of the three **formal** levels of leadership listed below, explain fully in this paragraph. (The source of these definitions is P&P 100.2-ARS.)

- **Lead Scientists (Level I)** are responsible for the scientific leadership of Level I projects, and report to a Level II Research Leader (RL). In this capacity, the Lead Scientist: coordinates scientific activities of participating scientists; evaluates and recommends--with National Program Staff (NPS) concurrence--changes to the project(s); prepares annual reports; provides technical information and consultation pertaining to assigned project(s), both internal and external to ARS; and ensures that human, fiscal, and physical resources assigned to project(s) are utilized as planned. With RL approval, a Lead Scientist may supervise temporary scientists assigned to the project, e.g., Research Associates. With Area Director (AD) approval, a Lead Scientist may supervise other permanent scientists assigned to project(s).

- **Research Leaders (Level II)** head management units and are responsible for exercising leadership and line authority over scientists and support personnel assigned to the unit. An RL reports to either a Level III Director or to an AD. In this capacity, the RL is responsible for: maintaining and enhancing the creativity and productivity of the unit; hiring personnel and managing the human, fiscal, and physical resources assigned to the unit; serving as the unit fund holder; providing technical information and consultation, both internal and external to ARS; and ensuring the proper interpretation and reporting of scientific research results and information.

- **Directors (Level III)** typically exist only where there is an organizational need for research administration to coordinate Level II efforts. A typical Level III assignment would be the director of a large center or laboratory.

B. Research Objectives and Methodology

Describe: (1) the specific objectives within the assigned area of responsibility which will be pursued for the next 3 to 4 years, and (2) the methodology to be used as agreed upon by you and your immediate supervisor. **If leadership is involved**, distinguish between the objectives of the research team and those of your personal research assignment.

C. Expected Results

State the expected results and the impact on science or technology that will result from successful completion of the research described in B above.

D. Knowledge Required

Limit to a **brief** list of specific, directly applicable disciplines and skills needed to perform the duties of the **current** assignment. **Do not** list commonly required knowledges such as statistical analysis, experimental design, etc. Example: "The research assignment requires professional knowledge of plant physiology, biochemical engineering, molecular biology, thermodynamics, and transport science."

E. Supervisory Responsibilities

Specific data, (i.e., title, grade level) of employees supervised must be included. All positions having formally delegated and continuing technical **and** administrative supervisory responsibilities over ARS employees must include the following:

> Provides technical and administrative supervision. Is responsible for making selections for positions, assigning duties, reviewing work, approving/disapproving leave, and evaluating performance. Ensures equal opportunity is extended to all employees supervised and all candidates for employment without regard to race, color, religion, sex, national origin, age, or nondisqualifying handicapping condition. Ensures affirmative implementation of Equal Employment Opportunity plans of action and applicable Civil Rights provisions which includes full consideration of eligible minority group members and women in filling vacant positions; providing career counseling and orientation; enhancing career opportunities through training and development, job redesign, and/or similar techniques; and ensuring full consideration of these employees in recommending promotions, awards, and other forms of special recognition.

Chapter 4: Factor 2, Supervisory Controls

This factor is documented and evaluated via four elements lettered A-D.

A. Assigned Authority

Summarize your freedom to do research and make decisions within the scope of the assignment. Include a statement about the complexity and/or alternative research approaches when the scope of, and freedom within, the assigned area permits such choices.

B. Technical Guidance Received

Describe the general **technical** supervision received. Technical refers to the theoretical, experimental, and practical aspects of **planning** specific research activities in the assigned area of responsibility.

C. Review of Results

Describe the supervision received (freedom given) to analyze, interpret, and report results, and the nature and extent of your supervisor's review of manuscripts.

D. General Supervision

Describe the broad supervision received, such as frequency and nature of contact with the supervisor, and your authority to make changes in the program or commit resources (personnel, supplies, equipment, budget, etc.).

Chapter 5: Factor 3, Guidelines and Originality

This factor is documented and evaluated via three elements lettered A-C.

A. Available Literature

Indicate the extent to which literature applies to the assigned area, the specific objectives currently being pursued, and the methodology being used.

B. Originality Required

Indicate the difficulty in identifying specific objectives or hypotheses or expected results, and in converting abstract concepts to easily understood statements or theories. If appropriate, the extent to which new areas of investigation might be opened should be described to help reflect the originality required.

Begin Factor 3-C on a new page with the heading shown below.

Factor 3 - **Guidelines and Originality**

C. Demonstrated Originality

In a paragraph **not to exceed ½ page**, describe the originality and creativity demonstrated in the research assignment and considered the best evidence of originality related to the **current** assignment. Some specific accomplishments should be cited, but **do not** restate the details of accomplishments described under Factor 4. **Needless details, verbosity, and reiteration of Demonstrated Accomplishments will not strengthen the case**.

Chapter 6: Factor 4, Contributions, Impact, and Stature

This factor is documented and evaluated via five elements lettered A-E.

Factor 4 is the single most important segment of the case writeup. It is double-weighted in terms of point value when compared to the other factors, because it implements the "person-in-the-job" concept which underlies the RGEG. Under this concept, research scientists have open-ended promotion potential based on their personal research and leadership accomplishments, which can change the complexity and responsibility of their positions.

> **Note**: Factor 4 is considerably more complex than the other factors, and its elements require correspondingly greater explanation. **Unlettered subheadings in this section are solely to provide clarification or examples of topics under discussion and are not to be used in formatting case writeups**.

General Guidance:

You may opt to begin this factor with a **brief** paragraph summarizing your research career by listing total years in research, total number of publications and presentations, and a general statement about your reputation and recognition **if** these are significant and appropriate. If included, limit to **no more than 1/3 page** and **do not repeat** information in Demonstrated Originality (3-C).

Do **not** submit previous position descriptions as part of the case writeup; summarize the past assignment instead. See "Other Significant Information" under section D 3) below.

A. Demonstrated Accomplishments

General

Immediately following the optional summary paragraph, select and list--from earliest to latest in chronological order--the most significant research accomplishments **over your total career**. A limit is imposed on the total number of accomplishments which can be claimed and documented, based on the scientist's current grade level:

- GS-11 and below, a maximum of three (3)
- GS-12, a maximum of five (5)
- GM/GS-13 and above, a maximum of eight (8)

Writing Accomplishment Statements

Impact is the core value of RPES, and assessment of impact begins with careful selection and documentation of original contributions to a field of science or technology or to ARS programs. Bear in mind that the actual impact of an accomplishment sometimes changes with time--often it is not apparent for some time after an accomplishment has been achieved--so great care and precision in writing are required.

Detailed examples of Demonstrated Accomplishment statements are provided under “Variety of Accomplishments Recognized” below. Each selected significant accomplishment must summarize the following information in **a concise paragraph not to exceed ½ page in length:**

- ***What was accomplished***? Emphasize what was done, but not how it was done. ***What was your role*** in the accomplishment? This is particularly important for accomplishments involving a team effort (see discussion below). RPES is a position classification system, and cannot evaluate group activities. It is therefore necessary to describe as accurately as possible what you contributed to the total accomplishment. Finally, and most importantly, ***what is the impact*** on science, or the degree of adoption or economic or program importance of the accomplishment? Where appropriate, specify the customer(s) who benefitted from your work.

  Note: Under the "Impact" subhead, relate significance and impact of the accomplishment to achievement of ARS National Program goals and objectives whenever applicable, particularly for your most recent accomplishments**.**

- To ensure that the requisite information is evident, **embed the subheadings at the appropriate points in each paragraph**, as shown in the examples. Note that the **accomplishment and role subheadings may be linked** in accomplishments where you acted alone.

- The intention is to keep accomplishment statement paragraphs terse and factual. **Remember the caution against verbosity.**

Number accomplishments in chronological order.

Identify accomplishments **since last promotion** (or entry on duty with ARS) with an asterisk.

> **Note**: Past accomplishments are generally accepted, but recent accomplishment is important to indicate continuing research competence. For RPES purposes, **"recent" is defined as the interval since the last panel evaluation**.

Documenting Accomplishments

For each accomplishment, select supporting documentation, termed "exhibits." Research accomplishments are generally documented with publications (i.e., peer-reviewed journal articles, patents, Cooperative Research and Development Agreements (CRADA), technical reports, germplasm releases, review articles, etc.). Other types of accomplishments are more appropriately documented by supporting statements, as discussed below and shown in the accompanying table.

> **Note**: Exhibits are permitted for Demonstrated Accomplishments only.

Accomplishments may be documented by a mixture of publications and supporting statements, provided the maximum of two (2) exhibits is not exceeded.

Whenever an accomplishment is not or cannot be appropriately documented with a publication, concise statements signed by some knowledgeable authority such as NPS staff scientist, technology transfer coordinator, action agency official, industry or commodity group representative, AD, etc., are acceptable as exhibits. **Such statements must contain substantive information.** They must provide evidence to support the summary and particularly the **impact** of the accomplishment. For research accomplishments, the statement(s) must also indicate why the research was not or could not be published.

> **Note**: Impact may also be addressed by attaching a maximum of three (3) supporting statements or reviews to a cover memo signed by the AD. The AD's memo must state that "the attachments indicate Dr. ______'s impact with regard to [identify the nature of the accomplishment]." Such memo/attachment combinations are counted as a single exhibit. Supporting statements are otherwise counted as individual exhibits.

Patents are an important means of documenting certain applied research and technology transfer accomplishments. In addition to including a copy of the patent as an exhibit, the writer should summarize information about the significance of the patent (i.e., improved products, economic savings, etc.) in the accomplishment statement.

Exhibits must be referenced to the particular accomplishment documented and--in the case of publications--to the publications list, e.g., "Exhibit 1, #3; Exhibit 3a, #6; Exhibit 3b, #8; Exhibit 4, #10;" etc. Publications related to an accomplishment but of lesser importance than the exhibit(s) will only be referenced to the publication list, e.g., "#28, #34, and #40."

Exhibits should be selected with the following in mind:

- Exhibits must support statements of your role and impact of the work on science, technology, or ARS programs.

- A **maximum** of two (2) exhibits may be used to document each accomplishment.

- There is no requirement to "fill the quota" with the maximum number of allowed exhibits.

- Full credit for an accomplishment cannot be given when the accomplishment is documented **solely** by abstracts.

- Serial articles ("Part I, Part II," etc.) are counted as separate documents when used as exhibits.

- **If you are using a book as an exhibit**, submit only one complete book. For the case writeup, the exhibit is to consist of a scanned PDF set of the table of contents. The RPE Staff will ensure the book gets to the designated indepth reviewer for your case. (If you so specify ahead of time, the RPE Staff will also arrange to have the book returned to you after the panel meeting.)

- **If you are submitting a disk as an exhibit**, be sure to include instructions for accessing the material on the disk.

- Submission of **non-English exhibits** is not prohibited, but such exhibits are probably of very limited value to panelists. Submission of translated abstracts and tables is strongly recommended.

Typical exhibits for various types of accomplishments include:

Type of Accomplishment	Typical Exhibits
Research	Journal articles, technical reports, germplasm releases, funded grants, supporting statements from user groups/action agencies
Special Assignments or Projects	Supporting statements from NPS and other program authorities
Technology Transfer	Patents, manuals or disks of computer programs, cooperative research and development agreements, industry/trade journal articles, germplasm releases, and supporting statements from user groups/action agencies, industry partners, and Technology Transfer Coordinators
Systems Research and Integration	Manuals or disks of simulation models, journal articles, technical reports, and supporting statements
Leadership (RL and Scientific)	Supporting statements from AD, NPS, and user groups/ action agencies
Additional	None permitted

Variety of Accomplishments Recognized

RPES recognizes and credits a wide variety of accomplishments when properly documented: knowledge development, knowledge application, method development, literature review/analysis, technology transfer, leadership (research leadership and scientific leadership), systems integration/modeling, and special assignments. The type(s) of accomplishments you select will naturally depend upon your past and present assignments.

Research

Research accomplishments are "expected" of research scientists, and the documentation is well understood.

Examples:

> **Accomplishment**: Wheel traffic compaction in no-till may reduce nitrogen fertilizer uptake by corn plants. To address this problem, the incumbent led a team in designing and conducting a field experiment that examined the combined effects of tillage, fertilizer placement, and wheel traffic on corn shoot and root growth, N uptake efficiency, and yield. Wheel traffic from moderate-size farm machinery (4.5 metric tons axle loads) reduced the growth of roots in tracked interrows. As a result, corn roots took longer to reach N fertilizer placed in tracked interrows and this fertilizer was then susceptible to leaching for a longer time. Additionally, placing fertilizer closer to the plant row resulted in more rapid shoot growth prior to anthesis. **Role**: Incumbent conceived, planned and directed the research, and wrote the manuscript. **Impact**: This research was the basis for three journal articles and two invited presentations and has been incorporated into Iowa State University Extension recommendations on nitrogen fertilizer placement.
> (Exhibit 1a, #25; Exhibit 1b, #34; and #46)
>
> **Accomplishment/Role**: The incumbent postulated that direct mechanical inoculation of the vascular tissues in seeds will bypass the need for vectors to transmit maize viruses. This elegant, unconventional, and simple approach resulted in a highly efficient method for transmitting MWLMV and the first mechanical transmission of intractable maize viruses such as maize chlorotic dwarf virus, maize mosaic virus, maize rayado fino virus, maize rough dwarf virus and maize streak virus. **Impact**: Among other benefits, this research provided a unique solution to study viruses without the confounding effect of vectors, eliminated or reduced the intensive labor requirements of insect rearing, expedited tests on infectivity of virus preparations, provided a means to study the mechanism of resistance to systemic virus movement and to study virus resistance independently from vector resistance, and facilitated studies that manipulate recombinant viral clones. (Exhibit 8a, #85; Exhibit 8b, #92; and #87)

> **Note**: ARS acknowledges the value of risk taking when appropriate to the mission. This means that negative or partial results are recognized as potentially having an impact on science as great as positive results in other contexts. Limited impact is more appropriately associated with limited relevance, lack of originality, or poorly planned and executed research.

Team Research

The RGEG--and, therefore, RPES--assess the impact of a scientist's contributions to science and technology, and the extent of stature and recognition resulting from that impact.

RPES seeks to determine the appropriate level of credit for contributions made as part of a team in the same manner as for individual research achievements. RPES is a system for classifying **individual** research positions. If your assignment includes being part of a team, you must be specific in showing **your contribution to the team accomplishment**. Team responsibilities may be assigned formally or they may develop informally.

Explaining contributions as a team member is sometimes difficult because the team concept emphasizes unity and cohesiveness. In writing the accomplishment statement, you **must** address your individual participation in, and actual contribution to, solving the problem in terms of conceiving the study or defining the study objective, defining hypotheses to test the approach, interpreting data, reporting or otherwise transferring the results, or comparable activities.

Impact is the key consideration in describing team research accomplishments. Impact is a question of the value and use made of a given contribution. It is neither measurable by nor synonymous with publication or authorship. IDR's are specifically tasked to determine an incumbent's relative contribution in team research and student/professor situations. Such situations are widespread throughout science and not considered unusual by experienced panelists.

Examples:

> **Accomplishment**: In team research, the incumbent and her coworkers determined the mode of action and compared the efficacy of two insect growth regulators on the cat flea. Pyriproxyfen was found to be the most photostable of two juvenile hormone mimics. Both compounds disrupted embryonic development when applied to the adult female flea. In addition, exposure of flea eggs to treated pet fur for as little as only 1 minute disrupted either embryonic or larval development, depending upon the IGR used. **Role:** The incumbent led the histological portions of the studies and participated as a full team member in other aspects of the work. **Impact:** This research demonstrated that the high susceptibility of flea eggs to these products was due to a unique, previously unreported, non-sclerotized chorion in flea eggs that consisted only of a gelatinous material overlaying the developing embryo. The results of this research are important because

they suggest new approaches for controlling fleas by attacking the vulnerable egg stage. The data are being used in evaluating this product for registration and commercial use on domestic animals. (Exhibit 7a, #57; Exhibit 7b, #59)

Accomplishment: In cooperative studies with university personnel and his Research Associate, the incumbent examined the impact of global climate change on hydrology and erosion. Using three climate change scenarios, the impact in increased precipitation and decreasing winter temperatures was evaluated on water resources of a mixed land use basin. Depending on the scenario, water yield increased from 101% to 245%, while the sediment yield increased from 121% to 266%. In another study, climate change scenarios were developed using trends in the climate data for 14 sites across the continental U.S. and Alaska. Using WEPP and CREAMS models, runoff and soil loss were simulated at each site with and without climate change. Relative impacts of these generated climate changes in soil loss ranged from -35% at a site in Alaska to a 40% increase at an Oklahoma site. **Role:** The incumbent developed analytical procedures to organize and present the data to demonstrate the impact of climate change on runoff and erosion. **Impact:** Results from these studies demonstrate that small differences in precipitation and temperature trends significantly impact soil loss and sustained agricultural production. (Exhibit 7a, #51; Exhibit 7b, #54)

Special Assignments and Projects

Such activities are considered related or complementary to assigned research. They are credited when the accomplishments:

- have impact on science, technology, or Agency programs equivalent to that of the conduct of research; or

- maintain your level of expertise, allowing full credit to be given for past research accomplishments.

The mission of ARS is to conduct research, solve problems of U.S. agriculture, and effectively communicate its results. Work will be assigned to positions in order to achieve mission goals with maximum effectiveness and efficiency. Accordingly, complementary service projects will be assigned to Category 1 positions when one or more of the following conditions exist: funds or personnel ceilings are not available to hire additional persons; the volume of work is not sufficient to justify establishing an additional position to perform it; the activity is a natural followup to the research; or technical requirements prohibit others from doing the work. Specific examples of such activity include (a) structuring, participating in, or co-leading external stakeholder workshops to develop input for National Program Action Plans, and (b) serving as ad hoc or convened panel reviewer for the Office of Scientific Quality Review in evaluating the technical and scientific quality of proposed ARS research projects.

While ARS allows researchers to impact the classification of their positions, there are some constraints due to the nature of each position. Each position is established **primarily** to perform a part of ARS' mission and, only secondarily, to provide avenues for possible personal advancement depending upon how the position and work can be organized. There is a clear distinction between pursuit of an Agency objective--even if not complete or fully successful--and scientists pursuing their own, or no, goals.

Documentation of research-related activities is **essential** for proper credit. The position description must include a brief paragraph on the duties and responsibilities for ongoing complementary assignments. Factor 4 of the case writeup must mention completed projects and accomplishments. They may be included either as (a) a substitute for a research accomplishment (when impact is comparable to a research accomplishment, or when it fills a gap in recent research accomplishments), (b) an Additional Accomplishment beyond the three to eight Demonstrated Accomplishments, or (c) a statement in Factors 4-B or -C, which provides further evidence of your acceptance, impact, and recognition.

Examples:

> **Accomplishment/Role**: As a technical consultant, conducted a field study to solve an urgent and critical problem and prepared a handbook of recommendations (Exhibit 7b), which applied methodology developed earlier (Exhibit 7a). **Impact**: This ARS handbook has been distributed widely among the users and has been commended by the industry.
>
> **Accomplishment/Role**: As Project Manager for 2 years, established a new location and program for research, monitored completion and acceptance of the new facility, established research programs and position descriptions for six research scientists and six support staff, and interviewed and selected staff. **Impact**: Although there are no publications resulting from work at the new facility yet, research is well under way. (Exhibit 8a, letter from Area Director indicating current appointment as Research Leader now that the project is done; Exhibit 8b, CRIS progress report)
>
> **Accomplishment/Role**: At the request of the Department of Defense (DOD), applied techniques to develop new methodology to . . . . **Impact**: Because this defense project was security classified, no publications were allowed; however, the work was successful. (Exhibit 4a, general description of the project objective; Exhibit 4b, a letter from DOD accepting the results)
>
> **Accomplishment/Role**: As Germplasm Curator for the sorghum crop, coordinated evaluation of 275 germplasm accessions, and consolidated the data into a report distributed to scientists working with the crop. **Impact**: The report has stimulated increased use of the germplasm to broaden the genetic base of the crop in the United States. (Exhibit 8a, letter from State Agriculture Experiment Station scientists/Director documenting use of the report and of the germplasm lines; Exhibit 8b, letter from plant

breeder from Tropical Seed Company documenting utility of the report and the new germplasm in their program).

Accomplishment: Appointed by Area Director as Research Program Representative (RPR) for 7 years (1994-2001) on the Agency team responsible for design and construction of a $17 million research facility to house 20 scientists conducting a national research program on biocontrol of plant pests. **Role:** Incumbent fulfilled major responsibilities throughout this complex endeavor, including the feasibility study, predesign and design work, bid process, construction, and postconstruction phases. Assignment required a high level of scientific expertise, a broad understanding of a multidisciplinary research program, and exercise of a high degree of coordination and communication skills. **Impact:** A major ARS design and construction project was completed in assigned timeframe and within budget. This has greatly enhanced fulfillment of ARS' research mission by providing the specialized, state-of-the-art facility needed for a multidisciplinary team approach to development of solutions to complex problems in biocontrol. This successful endeavor was due in large part to incumbent's actions, which also resulted in major savings to the Government by reducing design time by 8 months and avoiding over $130,000 in redesign costs. (Exhibit 8a, letter from AD assessing incumbent's overall performance of the RPR assignment; Exhibit 8b, letter from Director, Facilities Division assessing incumbent's performance of RPR responsibilities with attachment from Manual 242.4-ARS specifying RPR duties)

Technology Transfer

Technology transfer may constitute a **separate** accomplishment but, more often, is one means of creating impact in other accomplishments. Transfer is best explained by stating that the technology was transferred and by summarizing the resultant impact. Supporting documentation may take the form of statements from supervisors, user groups, industry partners or action agencies, or Technology Transfer Coordinators.

Technology transfer is a culmination of all ARS activities. It emphasizes the translation of research results into viable products, processes, and services. Scientists' involvement in technology transfer encompasses a variety of activities, such as:

- Direct communication concerning their research discoveries with industry scientists, Extension, and other action agency personnel, producers, food processors, etc.

- Joint research with potential users of their research results, including CRADA’s.

- Publication of manuscripts in peer reviewed journals and other printed media.

- Providing peer-reviewed research results directly to action agencies and regulatory bodies.

- Presentation of papers and participation in poster sessions at professional society and industry sponsored meetings and conferences.

- Participating with the Office of Technology Transfer in disclosing inventions, as well as preparation and prosecution of patent applications, CRADA's, and licensing agreements.

- Holding technology transfer meetings (e.g., field days, open houses, workshops, conferences, etc.) at ARS locations and/or sponsored by industry or professional societies.

- Preparation of interpretive summaries for the ARS-115, which along with the technical abstract are included in the TEKTRAN database.

- Assisting ARS Information Staff in preparation of articles, news releases, newsletters, video and radio tapes, etc.

Technology transfer is considered a research-related activity for classification purposes. Crediting such activities for research positions is based on the philosophy that the RGEG assesses a research accomplishment by measuring its impact on science or technology.

Note: While technology transfer is an ARS mission, it is **not** intended to be the major or sole assignment of any research scientist position. Positions which are **primarily** involved in performing technology transfer duties **cannot** be evaluated by the RGEG. Research positions performing technology transfer duties as an ongoing, permanent assignment must document that fact with a duty statement in Factor 1 of the case writeup.

Examples:

Accomplishment: As team leader, established, developed, equipped, staffed, trained, and directed an ink research program at the request of the American Newspaper Publishers Association and the American Soybean Association, and by Congressional mandate. **Role**: The incumbent with a research associate conducted research in which soybean oil and other representative commodity seed oils were modified to exceptionally light colored, biodegradable (#156), and hydrophobic polymers that are used directly as non-petroleum vehicle to formulate lithographic and letterpress inks of superior quality and cost competitive with petroleum based inks (#133, #136, #140, #144, #145). **Impact**: The technology was demonstrated, through a CRADA, to the satisfaction of a major ink manufacturer for all four colors used by the industry. With a potential market of 500 million pounds of soybean oil, the economic impact is extremely significant. The technology has been patented (#147) with foreign rights protected, and numerous national and international companies, expressing interest, have been referred to the ARS Licensing Coordinator. One nonexclusive license was issued August 1993. The company has sold over 500,000 pounds of ink to date, and markets are increasing monthly. This research has fostered development of a new market for soybean oil, and contributed to lessened demand for petroleum-based ink products. It has been recognized by receiving the team USDA Distinguished Service Award, 1992; the incumbent received the American Soybean Association's Domestic Marketing Award; and has received numerous requests to discuss the research and present lectures. (Exhibit 8a, #136; Exhibit 8b, supporting statement from American Newspaper Publishers Association)

Accomplishment: Coordinated national project to develop models for analyzing insects as vectors of hardwood disease. **Role**: Solicited participation of ARS and State Agricultural Experiment Station entomologists and foresters, arranged and conducted a workshop, coordinated lead scientists in assembling constituent models, and edited a comprehensive publication on the model. Organized and conducted technology transfer workshops with the Animal and Plant Health Inspection Service (APHIS), the Forest Service (FS), and the Agricultural Simulation Systems Institute regarding the model. **Impact**: Development of the model was selected as the most significant research accomplishment in entomology during 1992. Incumbent received a superior service citation for development and technology transfer of the model. Incumbent's personal technology transfer efforts have resulted in widespread acceptance and application of the model by FS, APHIS, the U.S. Environmental Protection Agency, the Bureau of Land Management, numerous State universities, consulting firms, and foreign countries. FS uses the model to decide which areas of National Forests are under the most disease pressure. Such analyses allow the agency to target control efforts, thereby saving some $500,000 annually in control program costs. (Exhibit 4a, #51; Exhibit 4b, #64; and #43, #46, #49, #50-61)

Accomplishment/Role: At the request of APHIS, developed a set of standards and procedures for determining the potency, safety, and efficacy of Marek's disease vaccine. Marek's is the number one disease negatively impacting chicken production worldwide, and causes economic losses to American farmers alone in the hundreds of millions of dollars annually. Vaccines have played a significant role in prevention and control since the 1960's, but no official standard existed for measuring vaccine efficacy. This research involved analysis of related in-house experiments as well as consultation with officials in ARS, APHIS, and industry. A written proposal was prepared (Exhibit 1a), submitted to APHIS, and subsequently adopted for use with only minor revisions (Exhibit 1b). **Impact**: These recommendations and standards have received the endorsement of industry as documented in correspondence from industry officials. Findings allow standardization of vaccine data, and enable APHIS to more aggressively monitor and control the spread of the disease.

Accomplishment/Role: Developed a computer-based Indexing System (Exhibit 2) for insect and mite systematics. **Impact**: Greatly enhanced the capability of Federal, State, and private researchers to conduct taxonomic research and to support regulatory and economic entomology. The work also contributed to development of a computer-generated decision model for treating honey bee hives with varroa mite-killing chemicals. This model is estimated to have saved the honey bee industry over $1 million annually, part of which is passed on to western growers who depend on honey bees to pollinate their crops.

Systems Research and Integration

Positions in which modeling and systems research and integration constitute a major component of the assignment are classified under the RGEG. Formal aspects of such positions are described in Factor 1 of the position description, and credit is given in that factor and Factor 4 for such activities. Formal modeling accomplishments are best documented in the form of one or more Demonstrated Accomplishments. Supporting exhibits may consist of all types of publications, simulation models, expert systems and statements from the modeling coordinator, National Program Leaders, and other knowledgeable persons.

Scientists who perform modeling typically develop the means for integrating scientific knowledge of agriculture production, processing, and marketing into systems that optimize resource management and facilitate transfer of technology to users. These positions normally emphasize quantification, simulation, and validation to produce models of individual systems or subsystems, which account for interactions among components of dynamic systems.

"Systems research" is the term often applied to quantification of interactions among components of complex systems. This research may be aimed at predicting system behavior, improving control, or designing new systems that will operate more efficiently. Simulation models based on physical, chemical, and biological processes may be the only means for predicting the impact of alternative management actions in real agricultural systems. Most of the important variables in such systems simply cannot be subjected to independent experimental manipulation or control.

Following are some criteria that are useful in evaluating modeler positions and systems research projects:

- Does the model raise researchable questions? Look for instances where model development identifies knowledge gaps or where testing of the model leads to additional hypotheses.

- Does the model attempt to incorporate current or latest knowledge? Check to see if the references listed in the model documentation are representative of the most recent research appropriate for meeting the model objectives.

- What is the scope or complexity of the problem addressed by the model? Examine the number of variables, organisms, and mechanisms treated explicitly by the model. Assess how widely the model might be used in terms of climatic zones, soil types, crops, breeds of livestock, or combinations of these and other variables. Check to see if the model incorporates basic scientifically sound processes that will apply broadly or if it is based on empirical relationships that have a limited scope of applicability.

- Does the model represent an original scientific ideal or approach? Determine whether and to what degree the model is a refinement or extension of earlier work or is entirely new. Project the scientific impact the model might have in promoting new lines of research or resolving intractable problems.

- To what extent has the model been, or can it be, adopted by users? Determine how many other scientists or people in action agencies, industry, extension, etc., may be using the model. Assess the ease of using the model.

- Did development of the model foster Agency objectives of promoting inter- or multidisciplinary research on regional and national problems? Look for the different disciplines involved in the model development and locations of the scientists.

- To what extent did the model meet the objectives originally stated? This question might be answered in terms of time and/or staff hours required, balance among model components, ease of operation, and testimonials from intended users or other scientists.

Examples:

Accomplishment: Led a national team of 15 scientists that developed the Nitrate Leaching and Economic Analysis Package (NLEAP) model. NLEAP was developed for use nationally to identify potential nitrate leaching hot spots and determine nitrogen management strategies to protect groundwater quality. **Role**: Incumbent was responsible for basic design, selection, and implementation of appropriate simulation algorithms; for design and implementation of user interface and expert system for interpretation of model results; and for model testing and validation. In cooperation with other scientists (incumbent 50%), field validated model on 30+ sites in some 15 States. **Impact**: NLEAP model was published in 1991 by the Soil Science Society of America as part of a nitrogen management book, thus becoming the first computer software to be published by the society. SCS and other users such as consultants, conservation districts, State agencies, and universities, have adopted NLEAP as a management, analysis, and/or training tool. SCS is committed to adoption of NLEAP technology in their field offices through FOCS and as a tool for developing field office guides. Currently, there are 90+ major groups using the model in the United States and in foreign countries. NLEAP research was recognized in June 1992 by a USDA Unit Award for Distinguished Service (incumbent was group leader). Incumbent's NLEAP research also was recognized by a 1992 Scientist of the Year Award for the Northern Plains Area. (Exhibit 5a, #69; Exhibit 5b, #89; and #66, #67, #70, #71, #83, and #84)

Accomplishment: Developed statistical procedures to facilitate both within-herd and across-herd genetic evaluation from performance data in swine. This procedure integrated past research on breeding objectives and a statistical methodology that has the statistical properties of Best Linear Unbiased Prediction (BLUP). **Role**: The incumbent provided leadership on statistical methodology and adaptations and guided the postdoctoral who did most of the computer program development. Others led coordination with breeds organizations and development of educational material. **Impact**: A main thrust of this activity was to make the procedures recursive and available on small computers such as the business-type computers used by swine breed associations. In this form, a considerable body of quantitative genetic technology is made available in a practical usable form to swine breeders with limited technical training. All eight swine breed associations in the U.S. have implemented this collection of procedures and make it available to their members under the acronym STAGES (Swine Testing and Genetic Evaluation System). Over 200,000 performance records have been processed to date by this software on the breed computers. (Exhibit 6a, #73; Exhibit 6b, #74)

Accomplishment/Role: The incumbent researched plant responses to high carbon dioxide concentrations and modeled the responses. He showed how high CO_2 increases photosynthetic rate and decreases transpiration rate to different extents in various crops, how the increased carbohydrate availability affects the size, weight, and number of each organ, and how CO_2 interacts with other factors to determine yield. **Impact**: Incumbent is often asked to advise the principal investigators of individual projects, Department of Energy (DOE) program managers, and members of the NPS about the course and status of the program and about future requirements. Since 1994, incumbent has provided leadership in the USDA/DOE program on crop response to CO_2 by defining the data and experimental work needed to develop the models to simulate crop growth and yield in a future high-CO_2 world. The incumbent is Project Leader in the Ecosystem Dynamics part of the ARS (special emphasis) Global Change Research Program. This work has resulted in invitations to author 5 book chapters, speak to 6 conferences, and attend 12 planning meetings. (Exhibit 6a, #51; Exhibit 6b, #55; and #27, #32, #35, #36, #37, #38, #41, #45, #48 and #65)

Leadership

Research positions which also perform leadership duties are classified by reference to the RGEG when the conduct and leadership of research constitute a major component of the assignment. Formal supervisory and managerial aspects of such positions are described in Factor 1 of the position description, and credit is given in that factor and in Factor 4. Scientists having formal leadership responsibility are **encouraged, but not required,** to list at least one (1) leadership accomplishment as part of their current grade-level quota. Supporting exhibits normally consist of statements from supervisors, National Program Leaders, and other knowledgeable persons.

Note: In some instances, the supervisory component of a research position may be grade determining. Application of the OPM General Schedule Supervisory Guide (GSSG) is the responsibility of the servicing Human Resources Specialist, not the RPES panel. Grade levels derived from GSSG application are irrelevant for RGEG application.

In some cases, formal leadership responsibilities are not specified in Factor 1, but an individual is truly a leader in the scientific community. In such instances, **scientific leadership consists of actions, apart from supervisory and managerial duties, which promote research activity on the part of other scientists and lead that activity in desired directions**. Scientific leadership is properly documented and evaluated as part of Factor 4 in the same manner as for formal leadership accomplishments. Scientific leadership accomplishments may be submitted by scientists whose positions are **not** officially designated as supervisors or RL's. The governing criterion in such instances is that scientists substantiate, by credible documentation, the fact that they did achieve a leadership accomplishment as defined herein.

Formal leaders get credit for leadership responsibilities as soon as they enter the job. Getting credit for leadership accomplishments in Factor 4, however, is another matter. A typical perception by many ARS scientists is that the time required for formal leadership activities prevents them from making personal research accomplishments that they could have made if not in a leadership position; therefore, they may lose or at least not gain additional credit in Factor 4 over time when in a leadership position.

There are various types of leadership accomplishments. A leader may take actions to maintain program excellence or to improve team performance. A leader may take action to redirect research programs as a result of Agency mandates or the leader's initiatives. A leader may take actions to accomplish special projects, such as the acquisition of resources, that promote research. A leader may take actions to coordinate a team of scientists over which the leader has no formal supervisory authority in a way that achieves program excellence or impacts national programs or policies. Evaluation of such accomplishments must consider both the actions attributable to the leader and the impact of the accomplishments.

If actions taken by the leader are not very effective or if the impact of the accomplishment is minor, leadership credit should be minimal, even if the leader "tries hard." The situation is no different than for a personal research accomplishment. Credit is not appropriate just because a scientist "tries hard."

The actions taken by the leader are evaluated for innovation and effectiveness, but the level of credit assigned should be proportional to the impact. Innovative actions that result in accomplishments with little impact should receive little credit. Except for the nature of the accomplishment (indirect rather than direct), a leadership accomplishment should be treated no differently from a personal performance accomplishment when assigning level of credit.

Some criteria to assist in evaluating the various types of leadership accomplishments follow. Because leadership can occur at all levels (I, II, III), the word "group" is used as a generic term to describe a team, management unit, laboratory, institute, or other appropriate grouping of personnel.

- **Group or individual productivity/effectiveness**

  Is there a change in the performance of a member(s) of the group? Look for a change in the productivity of the individual(s) as evidenced by such things as publications (quantity or quality), initiation of new research approaches, thrusts or programs, cooperation with other scientists in the group, or acquisition of outside funds.

  Is there recognition of the scientists in the group? Look for increased invitations, more advisory and consultation activities, awards for the scientists, an increase in society participation, and other such activities. Is there evidence that the Agency is utilizing the talents of its scientists in research-related activities?

Is there an increase in the productivity of the group? Look for evidence that members of the group receive proper credit for their activities. There should be items such as new programs, publications, development of teams for new projects, or reassignment of individuals to new or old programs. Consider the size and diversity of the group led.

Is there an improvement in the quality of the output from the group? Look for the impact of results from the group. This impact may be an acceptance by other scientists, the Extension Service, other user agencies or industry, for example. Awards to the group may also be indicative of quality research.

If the leader is head of an already productive group, has that individual maintained the high level of productivity over a significant period of time? What specific actions were taken to ensure maintenance of program excellence? It is recognized that maintaining a high level of excellence may demand as much or more good leadership as that required to turn an unproductive group around.

Is the leader acting as a mentor? Look for items such as giving assistance (where needed) to members of the group on specific research programs, providing opportunities for development (training, sabbaticals, etc.), sharing ideas or helping to set goals (especially for new members of the group).

Has there been recognition of and/or support for the activities of the group by organizations outside ARS? This recognition could be a use of the findings by farmers, action or regulatory agencies, industry, universities, other scientists, or by financial support from these and other groups.

Is the group attracting visiting scientists, graduate students, postdoctoral candidates, sabbatics, etc.? Look for evidence that other scientists want to work with people in that group.

- **Initiation/execution of program redirection**

  Has the leader initiated or implemented a needed or required change in program direction? How responsive was the leader to Agency expectations or mandates? Was the disruptive effect minimized? To what extent were negative effects on morale minimized? Look for changes in the number and kind of personnel, facilities and equipment in the group, and whether the changes improved the effectiveness of the group. The leader must work well with employees at all levels in the organizational structure.

- **Scientific leadership**

  Does scientific leadership extend outside the group? Look for the impact the individual has had on the programs of other scientists, groups, or agencies. How dependent is the leadership role on the stature of the incumbent? Because of the individual's knowledge and/or stature, the impact may cause a change in direction or an acceleration in effort in a major research area.

Examples of leadership accomplishments:

Accomplishment/Role: The incumbent as Research Leader has increased productivity of a poorly-performing unit through personal initiatives. During the past 7 years, he has replaced three of the eight unit scientists. Difficult disciplinary and deficiency problems were successfully solved in four other cases. **Impact**: These personnel actions resulted in a significant increase in productivity as measured by the number of publications. The high quality of research of the present staff is demonstrated by invitations to present research findings at national and international meetings, election to society fellows, and service as journal editors. In the last 2 years, scientists in his unit have received numerous awards including the Distinguished Service Award. Unit scientists have held leadership positions in various national and international research efforts. At present, the unit has an effective and coordinated research program with an enthusiastic and productive staff. (Exhibit 8a, support statement from National Program Leader; Exhibit 8b, letter from cooperator)

Accomplishment/Role: The incumbent was appointed Research Leader of the Grain Quality Resource Unit 8 years ago. Prior to this appointment, the unit was recognized as exceptionally productive and many of the seven scientists had received personal recognition for their research. Since assuming leadership, the incumbent has filled 3 scientist vacancies, coordinated CRADA's with 2 international companies that have generated funds to support 2 graduate students and 2 postdocs, initiated a new food safety program resulting from an NPS program increase, and developed new collaboration with scientists in 10 different laboratories. She has improved communications between scientists and support staff, which has improved morale throughout the unit. **Impact**: The unit productivity has remained at an exceptionally high level. Technology developed by the unit has been widely utilized by the Food Quality Council. One of the new scientists received recognition as an Early Career Scientist by ARS. (Exhibit 8a, statement from National Program Leader; Exhibit 8b, statement from the Food Quality Council)

Accomplishment/Role: Upon assuming duties as Research Leader, the incumbent undertook a number of initiatives to expand and redirect the research effort of a team of highly capable scientists whose work was impacted by a shift in Agency research priorities. **Impact**: The redirection took place without significantly affecting the scientific atmosphere, staff attitude, and team productivity, in spite of unavoidable disruptions caused by needed modification of the physical plant and concomitant safety issues. Through the incumbent's efforts, regional representatives of the Natural Resources Conservation Service (NRCS) were collocated with the Research Unit thereby enhancing the redirection of research efforts and facilitating transfer of new technology. The incumbent was awarded a Certificate of Merit for exceptional handling of program changes, and during her leadership tenure, cooperation between the NRCS and ARS staff were significantly streamlined. (Exhibit 8a, statement from Area Director; Exhibit 8b, statement from National Program Leader)

Accomplishment/Role: A poultry vaccine was discovered to contain a passenger virus (R) which was causing detrimental effects. Because of his nationally recognized expertise with R virus, the incumbent was asked to address this issue. He facilitated the transmission of data showing the contamination through the grower to the vaccine company, assisted the vaccine company in validating the status of the questionable vaccine, and assisted APHIS by providing technology and data on detection of the R virus. **Impact**: The incumbent was invited by the National Broiler Council technical committee to lead an informal team in the formulation of recommendations that, when forwarded to APHIS, resulted in the development of new regulations requiring testing of vaccines for R virus. (Exhibit 8a, policy statement issued by APHIS, Veterinary Biologics; Exhibit 8b, statement from National Broiler Council)

Additional Accomplishments

Following the selected Demonstrated Accomplishments you may list **no more than two (2)** Additional Accomplishments. Include this section only when selected accomplishments illustrate impact equal that of Demonstrated Accomplishments. If you opt to include the section, write the statements in the same format as for Demonstrated Accomplishments, and **limit each to ½ page in length**. **Exhibits are not permitted for Additional Accomplishments.**

B. Stature and Recognition

Begin each subelement with a summary sentence citing total numbers in each entry, followed by a bullet listing of no more than the specified number of those considered most significant **from all sources** over the incumbent's career. Alternatively, provide only a bullet list if total number doesn’t exceed stated maximum.

1. **Honors and Awards**: List not more than the **20** most significant. Cite with dates and a brief but sufficient description to enable the reader to determine true significance. If a cash award was involved, cite the reason and amount. Differentiate between group and individual awards. Include only science awards. **Do not** include civic or social awards, or annual performance rating awards (including Certificates of Merit for annual performance ratings).

   Example: Have received 26 formal honors and awards, of which the following are the most significant:

   Member, Phi Kappa Phi

   Member, Sigma Xi

   USDA Superior Service Award, 2001, $6,000, for mechanical harvesting improvements (group award)

   Best Paper Award, Soil Science Society of America, 2004

Elected Fellow, American Society of Agronomy, 2006

2. **Special Invitations**: List not more than the **20** most significant. Entries are to be specific **invitations to you** to present a paper before science oriented or industry groups, write a paper or a chapter for a book, conduct a seminar, etc. These are usually good evidence of professional recognition and standing. The key word is **invitation**. Be selective since the stature of the group issuing the invitation is just as important as the fact that an invitation was received.

   If an invitation was declined due to travel restrictions or other reasons, state "Declined" in parentheses after the listing. For each entry, list the title, date, location, and organization or purpose of gathering. If a paper was subsequently published, reference it to the publication list.

   Examples:

   a. Served by invitation on the FAO/WHO Pesticides Residues in Food and the Environment Panel from 1998-1999 and 2001-2002 (Chair, 2002). During these periods, prepared FAO monographs with recommendations on residue limits for numerous pesticides such as Heptachlor, Dieldrin, and Carbaryl. The limits are used by the UN to establish international tolerance and have had a significantly favorable impact on acceptance of U.S. agricultural exports.

   b. Selected as Chair for Section II of the International Congress of Livestock Production, Lausanne, Switzerland, 2000.

   c. Invited to present the paper "Metabolism of Organophosphorus Insecticides" at a national meeting of the Entomological Society of America, Miami Beach, FL, 2003 (#22).

   d. Invited to present the paper "Microencapsulation and Adjuvants" at a symposium "Formulation and Application of Microbial Insecticides" at the national meeting of the Entomological Society of America, Honolulu, HI, 2006. (Declined)

3. **Offices and Committee Assignments Held in Professional and Honorary Societies**: List not more than the **20** most significant. Specify and give dates.

   Examples:

   Member, Board of Directors, Utah Agricultural Chemicals Institute, 1995-Present

   Chairman of Nominating Committee (1996-1997), and Chairman-Elect of Constitutional Revision Committee (1999), Southwestern Branch, Entomological Society of America

   Elected Member of Executive Committee (2001-2002)

Chairman, S-01 Technical Committee, (name of committee), 2005

4. **Participation in Professional Meetings, Technical Conferences, Workshops, etc.**: List each specific society separately, state years of membership, total number of meetings attended at all echelons, and total number of presentations made; **do not** list presentation titles. Examples:

   Entomological Society of America (1998-present). Attended 25 meetings and made 13 presentations.

   Soil Science Society of America (1996-2001). Attended 12 meetings and made 7 presentations.

   Crop Science Society of America (non-member). Attended 2 meetings and made 2 presentations.

   Environmental Protection Agency Atmospheric Contaminant Workshops. Attended 5 meetings and made 3 presentations.

   Note: Cite significant *invited* presentations under Special Invitations.

C. Advisory and Consultant Activities

Begin each subelement with a summary sentence citing total numbers in each entry, followed by a bullet listing of no more than the specified number of those considered most significant over incumbent's career. Alternatively, provide only a bullet list if total number doesn't exceed stated maximum.

1. **Professional Advisory and Consulting Activities**: List not more than the **20** most significant. Cite each activity with date(s), name and type of organization or situation (generally outside ARS), and type and significance of contribution. These need not be on a "paid" basis. **Service as a journal reviewer is reported under this section.**

   Examples:

   a. Appointed by the Governor of Oklahoma as the ARS representative to the committee on Water Resources Research to advise the Oklahoma Water Resources Research Institute, 1998.

   b. Incumbent has served on the editorial board of the "Southwestern Entomologist," 1997-present. Responsible for the review and approval of manuscripts relating to research on cotton pests and for maintaining the quality of publications on that area of research.

c. Consulted with scientists at Federal Technical Institute, Zurich, Switzerland, on research approaches for study of genetics and manipulation of apomixis, 2001. Incumbent demonstrated cytological techniques for accurate evaluation for mode of reproduction in plants, studied the recent genetic ratios for control of apomixis, and helped arrive at conclusions relative to its inheritance.

d. Incumbent has served as a project reviewer for EPA, 2001-present. Responsible for evaluating and making recommendations on proposed research projects that seek funding from that organization.

Note: It may be appropriate to cite research-related activities as further evidence of your impact and recognition. Some examples follow:

a. In cooperation with the National Program Staff, revised and updated USDA Bulletin and Leaflets, e.g., "The Common Liver Fluke in Sheep," and "Preventing and Controlling Internal Parasites of Dogs" (both 1997).

b. Served as expert advisor at international conferences, committees, and planning sessions. Specifically: (1) advisor on Sheep Parasitic Diseases in the United States as the USDA Delegate to the International Office of Epidemiology, Paris, 2000; (2) consultant and advisor to APHIS on planned anaplasmosis and babesiasis vaccination programs in South America. This type of advisory work may involve a few days a week, one or more times a year.

c. Served as Chair of a nine-scientist committee to develop and finalize National Research Program No. 20170, 1999-2003. The program writeup provides the basic plans for a 10-year national program in basic plant physiology and biochemistry.

2. **Special Assignments**: List not more than the **20** most significant. Items should be of a technical and professional nature. List each, give dates covered, and briefly describe. Include formal Technical Advisor appointment activities and responsibility for serving as Authorized Departmental Officer's Designated Representative (ADODR). Only publications associated with the assignment are to be referenced.

   Examples:

a. At the request of AID/FAS and Australia, was sent on special assignment in Australia June 1-November 8, 2001, to consult with and advise United States and Australian officials on the identification and control of verticillium wilt.

b. Sponsoring Scientist and Technical Advisor to PL-480 Project IN-SEA-27 to India: "Autecology and Genecological Investigations of the *Cenchrus ciliaris* Complex, Indigenous to India and Growing in America" at Saurashtra University, Rajkot, 2001-present. (#23, #50, #53)

c. Co-chair of Southern Regional Forage and Pasture Research Task Force, 1999.

D. Other

1. **Educational Background**: List for undergraduate and beyond, the name of each institution of higher education and dates attended, majors and minors, and degrees awarded. List only degree-granting institutions.

   Examples:

   1994-1996 Texas Tech Univ.; major, Agriculture; A.A. 1996

   1998-2002 Texas A&M Univ.; major, Agronomy; minor, Chemistry; B.S. 2002

   2002-2004 Kansas State Univ.; major, Agronomy; minor, Chemistry; Ph.D. 2004

2. **Research Experience**: List professional jobs held in chronological order giving title, grades, and dates. Include present position.

   Examples:

   1998, Research Associate, Texas A&M Univ., College Station, TX

   1998-2000, GS-11, Soil Scientist, USDA, ARS, Tucson, AZ

   2000-2002, GS-12, Soil Scientist, USDA, ARS, Tucson, AZ

   2002-present, GS-13, Soil Scientist, USDA, ARS, Temple, TX

3. **Other Significant Information**:

   List a **maximum of 10** significant items pertinent to scientific career not addressed elsewhere in the writeup. **No entry may exceed 1/3 page**.

   Present narratively any information **not addressed** in elements A-D considered important in the evaluation of your position. Examples include educational and public relations efforts and nonresearch activities which may be a part of your responsibilities.

   Any exceptional or extenuating circumstances which may have affected the quality or quantity of research output, either favorably or unfavorably, should be summarized here if such circumstances have not been covered under other items of the format.

   This is the appropriate point to summarize past assignments **where recent change in assignment has occurred**. (**Do not** submit former position descriptions.)

State total number of funded grants, CRADA's, and cooperative research agreements over your career, followed by a bullet listing of not more than **the 20 most significant**. Do **not** list proposals.

Materials actually submitted for journal review but not yet accepted are to be listed here, not in the publications list. Do **not** list materials in other stages of preparation.

Examples:

a. The incumbent is a member of the Graduate Faculty at Texas Tech University, Lubbock, TX, and has served as Committee Chairman for numerous M.S. and Ph.D. candidates.

b. The incumbent's rice quality research program at Beaumont serves as a model system for the establishment of similar laboratories in other countries. He has informally trained and assisted several researchers and technologists from Latin America, Europe, and Asia in rice quality evaluation, in planning and equipping their laboratories, and in programming their work for productive, efficient, and reliable operation.

c. The incumbent is a Registered Professional Engineer (#12340) in the State of Texas.

d. The incumbent holds an appointment as Adjunct Professor of Food Technology at Marshall University, Huntington, West Virginia.

Often a scientist is required to perform nonresearch duties vital to ARS operations. When classifying a research position having mixed duties, direct credit cannot be given for nonresearch activities such as some Location Coordinator duties, Equal Employment Opportunity Counselor, Safety Officer, etc. A brief description of the intended role in meeting organization goals and objectives, how well this role is fulfilled, and how effective the individual is in cooperating with others when this is necessary or desirable in the total program, can be indicated.

Panels may determine that an incumbent's research progress is being slowed because of excessive nonresearch activities. Panels should call such situations to the attention of management in the panel report or in a separate memorandum to the supervisor. Management can then take action by assigning the activities to someone else, providing necessary support assistance, discontinuing the activities, or other feasible means. In some situations it is necessary to reassign an incumbent to a nonresearch position and classify the position accordingly.

> **Note**: Continuing nonresearch activities which take 25 percent or more of your duty time should be reported in Factor 4.

E. Publications

Start this segment on a separate page. Attach the entire listing at the end of the case writeup. With regard to scientific journal articles, **list only those already published or accepted by the publishing agent**, citing acceptance date for the latter.

Subdivide the Publications list into two sections. Under the heading "Peer Reviewed Journal Publications," list **only** research that has been published in peer-reviewed journals. **All other** work not meeting this definition–including peer-reviewed proceedings articles, peer-reviewed books, and patents–must be listed under the heading "Other Publications." Do not include talks, radio or other **presentations, unless they have actually been published**.

> **Note:** Subdividing the Publications list is not intended to legitimize mere "pubs counting," or to detract from the necessity of making a comprehensive assessment of impact, stature, and recognition of each Demonstrated Accomplishment. Subdivision is merely a convenient grouping, and does not establish tiers of publication "value."

For guidance on electronic publications, see the definition in P&P 151.1-ARS, Publishing (Print and Electronic).

> **Note**: Items meeting the definition of "electronic publication" are to be included in the Publications List. Items not meeting the definition are to be listed under Other Significant Information.

List publications in chronological order, all authors in proper order. Give full references including journal, volume, and complete pagination.

For multi-author documents, **bold** incumbent's name and **italicize** the names of graduate students, postdoctoral associates, or visiting scientists supervised.

In both sections of the list, delineate by a dashed line across the page those materials published or accepted for publication since last promotion. (The delineation line is not required for scientists undergoing their first post-hire panel review.)

To avoid confusion, ensure that titles in the publications list conform with **actual** titles as published.

> **Note**: Materials submitted but not yet accepted are to be shown in Factor 4 D 5), Other Significant Information, **NOT** as part of the publications list.

Examples:

Peer-Reviewed Journal Publications

1. *Emerson, R. W.* and **Jones, K. C.** Observations of *Eimeria mohavensis* from the kangaroo rat. J. Parasitol. 36 (59):117-124. 2000.

2. **Jones, K. C.** and *Eliot, T. S.* Inheritance and control of obligate apomixis in breeding buffelgrass, *Pennisetum ciliare*. Crop Sci. 6 (2):473-476. 2001.

3. Jones, K. C. Coccidiosis in the pocket gopher. J. Wildlife Biol. 7 (12): 918-920. 2004.

4. Jones, K. C. Systems for rearing horn flies. ASAE Transactions. 10 (2):112-115. 2006.

Other Publications

5. Jones, K. C. Soil and wind erosion in West Texas. Tex. Tech Univ. 94 pp. 2000. (Thesis)

6. Jones, K. C. Narrow rows increase dryland grain sorghum yields. Tex. Agric. Exp. Stn. Misc. Publ. #1238. 2 pp. 2002. (Technical Bulletin)

7. Jones, K. C. Cotton Crops of Texas, pp. 78-94. In Brown, D. F. and Black, J. R. (eds.) Cotton of the South, Simplex Publ. Co., New York. 328 pp. 2005. (Book Chapter)

8. Jones, K. C. Rabbit feeding on demand. (Accepted by Rabbit Growers' J. on Nov. 17, 2005.) (Popular Publication)

9. **Jones, K. C.** and Eliot, T.S. Dryland storm abatement concepts. Proceedings of the Southwestern Blowhard Conference: 507-510. 2005. (Peer-Reviewed Conference Proceedings)

10. **Jones, K. C.** and Griswold, Clark W. U.S. Patent Number 5,999,999. System for plastic materials application in dryland irrigation canals. September 2006.

    Note: Number publications sequentially throughout the list. Do **not** start renumbering under the "Other Publications" heading.

Inclusion of an **abstracts** list is no longer permitted. If you submit an abstract as an exhibit for a Demonstrated Accomplishment, cite it by exhibit number: "Exhibit 5a, #10; Exhibit 5b (abstract)."

Chapter 7: Case Writeup Preparation, Review, Approval, and Submission Procedure

1. Research Position Evaluation (RPE) Staff schedules case for panel review and issues formal notice to Area Office, establishing official Area Office and RPE Staff cutoff dates for final writeup.

2. Area Office notifies scientist and establishes date for submission of **draft** writeup for preliminary review (NLT 30 calendar days before official cutoff date).

3. Researcher drafts case writeup, adhering to format and content specifications in this Manual.

4. RL reviews draft for format adherence, completeness, and accuracy, and returns to researcher for revision.

5. Researcher revises draft and returns to RL, who forwards draft through line management to Area Office.

6. Area Office staff reviews draft for format and administrative compliance, then AD or designee reviews the draft for technical content/accuracy and makes recommendations for improvement or directs changes in the event of noncompliance with Manual specifications.

   Note 1: Major disagreement over writeup content will be resolved by the AD as provided in P&P 431.3-ARS, Section 8.

   Note 2: No entry at variance with prescribed format will be accepted. Noncompliant writeups will not be accepted by the Area Office. Delays due to improper case preparation may cause cutoff dates to be missed and result in panel review being rescheduled.

7. Area Office returns draft through line management to the RL, who supervises finalization by the researcher.

   Note: Above steps may be accomplished using any media (hard copy or electronic) the Area Office desires.

8. Incumbent and RL sign ARS-514 certifying completeness and accuracy, RL signs AD-332, then forwards with writeup CD through line management to AD for approval and ARS-514 signature. Case material submission media are specified in the table below:

Case Material Submission Media	
Document	**Medium**
• ARS-514, case writeup cover sheet • AD-332, position description cover sheet	• Paper • Original signatures required • Not distributed to panelists
• ARS-570, IDR Contact Sheet • ARS-229, Special Form - Factor 4, Level F Criteria (for Supergrade Panel only)	• Converted to PDF format; on CD • Converted to PDF format; on CD
• Factors 1-4 (body of writeup)	• Converted to PDF format; on CD
Type exhibit • Journal article/report • Supporting statement • Book • Model on digital video disc • Videotape	 • PDF scanned; on CD • PDF scanned; on CD • Hard copy for IDR; PDF-scanned TOC on CD for other panelists • Disc • Videocassette

Instructions for preparing ARS-514:

- Enter scientist's name, title, **present** series and grade, research unit, duty station, immediate supervisor's name and working title, peer group (**use only current alpha code** shown in P&P 431.3-ARS), and date case writeup is signed.

- Employee, immediate supervisor, and AD sign the form; intermediate supervisor(s) may initial.

Instructions for preparing ARS-570:

- Designate (by number) which accomplishment(s) from Factor 4-A each contact is knowledgeable about.

- If the contact is a general (multi-accomplishment or career long) contact, enter the word "General" rather than accomplishment number(s).

- **Be sure to include your immediate supervisor**.

- Ensure the telephone number for each contact is **current**.

- If the contact has an electronic mail address, include it with the telephone number, and ensure that it is **current**. This information can facilitate arranging interviews and reduce "telephone tag."

- List a wide variety of contacts; do **not** restrict contacts to ARS personnel. Possible selections are National Program Staff scientists, AD's, Technology Transfer Coordinators, cooperating scientists, etc. At least some persons from USDA and other action agencies, State agencies, user groups, academia, and others outside of ARS, should be listed.

9. Area Office mails final approved case materials to RPE Staff for review and distribution.

10. RPE Staff reviews case materials for completeness and compliance with Manual specifications; notifies Area Office by e-mail of noncompliant section(s) requiring revision.

    Note: The Associate Administrator for Research Operations and Management (AA-ROM) will hold Area Offices strictly accountable for writeup compliance with Manual specifications.

11. RPE Staff consolidates the CD's for each case assigned to a given panel, copies all cases onto a single master CD, duplicates the master, and mails to individual panelists along with any "hard" exhibits (books, videocassettes, etc.).

Part II - Evaluation Guidance

Chapter 8: Panel Operating Procedures

Prior to the Meeting

Panelists will be provided with a copy of each case writeup (with exhibits) to be reviewed. The IDR will prepare an ARS-516, Research Position Evaluation Worksheet, for each case assigned by the panel Chair. Panelists other than the IDR may use the ARS-516 for initial scoring and to note questions and comments for clarification during panel deliberation.

The Chair makes indepth review assignment(s) to individual panelists **within 1 week** of receipt of case material.

Designated IDR's schedule timely contacts with the people they intend to interview. IDR's must contact a minimum of five individuals, one of whom must be the immediate supervisor of the position under review. There is no maximum number of additional contacts.

All panelists review, evaluate, and score each case in accordance with criteria of the RGEG (Chapter 11), using the following approach:

- Begin scoring with Factor 4, which is the most important factor in the RGEG. For each of the three to eight significant accomplishments submitted by the scientist, review the statement **and** the exhibits (publications or other documentation) accompanying the case.

    - Determine the relative impact level for each accomplishment, and

    - Select the most significant accomplishments (maximum of three) representing the incumbent's "best work."

- Consider incumbent's role in each Demonstrated Accomplishment when judging the appropriate overall level. Sound judgment must be used in deciding the level most representative of the total quality, significance, and role of the incumbent in the accomplishments.

- Evaluate Factor 4 using RGEG criteria. Compare the position/incumbent facts to the RGEG, determine which level best characterizes the facts, and record the level on the ARS-516. Use "+" or "-" if you desire to show ratings between levels, which are to be adjusted following panel discussion.

Caution: The case should be examined carefully to determine if documented **evidence of recency** is sufficient to give full credit for Factor 4. If a lack of recent documented accomplishments has apparently jeopardized maintenance of research competence, **reduce the level assigned for Factor 4** and mark the appropriate block on the ARS-516.

Recency of accomplishment is important. Regarding Factor 4, the RGEG states: “This factor focuses on the researcher's total contributions, impact, and stature as they bear on the current research assignment. It is not restricted to present and immediate past accomplishments and achievements. However, recency of accomplishment is important. Recent research or similar activity is essential to receiving full credit.” If there is no documented evidence of recent productivity, the possibility exists that the position is not performing research and is therefore excluded from RGEG coverage, perhaps warranting a **Grade/Category Problem (GCP)** decision. Another possibility is that the incumbent has failed to maintain the level of contribution and impact necessary to sustain the position's current grade level (perhaps warranting a GCP decision).

For RPES purposes, **"recent" is defined as the interval since the last panel evaluation**.

- Evaluate the remaining three factors (1-3) by reference to the RGEG, using the general approach discussed above. **In scoring Factors 1-3, you must carefully consider the interaction of Factor 4 with these factors**. This is particularly true if a research assignment is described in Factor 1 but there is no evidence that the incumbent is actually performing research. Such situations should be investigated for possible GCP decision.

- For each of the four factors, decide the overall level to assign to the factors, assign corresponding points for the levels as shown in the RGEG and record the points on the ARS-516. If there is great variation among the levels assigned for the factors, carefully review RGEG criteria and identify significant issues for resolution during panel deliberation. Ideally, there should be a positive correlation between the levels assigned to the factors.

- When scoring cases, **bear in mind a basic classification principle:** the full intent of level criteria must be substantially met to warrant credit at the defined levels. If criteria of the defined levels are not fully met, assignment of the undefined Levels B and D is appropriate.

Instructions for Preparation of ARS-516 by IDR

ARS-516 is available from the RPES Home Page. Prepare a separate ARS-516 for each case for which you have been assigned IDR responsibility. Do **not** complete the ARS-516 by hand.

For each factor, the ARS-516 provides a standardized format for recording position/incumbent facts gleaned from the case writeup and your IDR factfinding. Use the blank spaces and boxes as guides to ensure that you capture all relevant information during your factfinding and to facilitate report preparation.

The completed ARS-516 constitutes a "first draft" of the panel report if the panel reaches a consensus **Remain in Grade (RIG)** decision. The panel will edit the ARS-516 to produce a detailed narrative position evaluation report. See page 49 for procedure when the panel reaches a consensus **Upgrade (UPG)** or **Refer to Supergrade (REF)** decision.

To simplify the panel's editing task, **complete the ARS-516 in whole sentences**. The ARS-516 is purposely formatted to ensure collection of information essential to the classification process. Note that **it is neither necessary nor desirable** to generate lengthy, detailed statements when preparing the ARS-516. Simply complete the worksheet **within established space limits** with concise, factual information. Do not "fill every inch of space" on the worksheet--doing so will unnecessarily lengthen the draft report and require additional panel time to edit out extraneous text.

For Factor 4:

- Rate each Demonstrated Accomplishment as described above,

- Select the most significant (maximum of three), and

- Summarize the significance/impact of these highest rated accomplishments and explain incumbent's role in each, in brief sentences. Also, **be sure to identify situations where recency of accomplishment or diminished stature/recognition/consultation may be a problem.**

  Note: Some information requested under each factor is intended to "prompt" capture of critical information. Complete each entry, even though some information from the entries may prove marginal or irrelevant and may be deleted when editing the worksheet to produce the final report. For example, if recency of accomplishment (Factor 4) is **not** a concern, this statement would obviously **not** be included in the final report. Where **it is** a concern, the "prompt" statement applies. You must summarize information relevant to the "prompt" on the ARS-516.

At the bottom of each page, compose a **brief** factor rationale summary for each factor stating why a given level has been assigned. This statement must be phrased **in relation to RGEG criteria** for the appropriate level. **An additional statement will be required to summarize a Level B or D rating**. Sample statements, illustrating intent, are listed below. You are to use these samples as models to tailor the facts of the specific position to the factor rationale summary.

> **Caution**: Statements relevant to Levels B/D are shown where appropriate in the samples. If the IDR neglects to include Level B/D statements in the draft summary sentence (or if the panel reaches consensus on such levels and the IDR had different levels assigned initially), the Personnel Representative must ensure that the panel agrees with the terminology when either Level B or D is the consensus decision for a given factor.

Factor 1

The panel assigned Level A for this factor because Dr. Sample is responsible for research of limited scope with readily definable objectives, requiring mostly conventional techniques. Publishable additions to scientific knowledge or improved methodology are expected.

The panel assigned Level B for this factor because Dr. Sample is responsible for all phases of an area of research, objectives are hard to define, and conventional methodology is required. This exceeds Level A criteria but falls short of Level C.

The panel assigned Level C for this factor because Dr. Sample is responsible for an area of research requiring a systematic attack. Sophisticated as well as standard methods of plant pathology are followed, and successful research will result in a series of documentable additions to knowledge of considerable interest to the scientific community.

The panel assigned Level D for this factor because Dr. Sample is responsible for leading a team of scientists in conducting exceptionally difficult research. Existing techniques must be modified before substantial progress can be made, and the research is expected to provide significant benefits that will result in documentable modifications of existing theories. This exceeds Level C and approaches, but does not fully meet, Level E.

The panel assigned Level E for this factor because Dr. Sample is responsible for leading a team of scientists and is independently conducting exceptionally difficult research on critical problems. Existing hypotheses and techniques must be significantly extended before substantial progress can be made, and significant documentable information on dietary and physiological factors controlling mineral absorption and use is expected.

Factor 2

The panel assigned Level A for this factor because a specific problem is assigned and the supervisor provides general instructions on study scope and objectives, and confers on problem definition and development of a plan of attack. Dr. Sample then pursues projects to completion with occasional reference to the supervisor. The supervisor reviews completed work for adequacy of method, completeness, and results, and approves significant changes in research.

The panel assigned Level B for this factor because Dr. Sample has substantial freedom to select specific problems, and decide approach and execution within a defined area. This exceeds Level A criteria but does not fully meet Level C.

The panel assigned Level C for this factor because Dr. Sample has considerable freedom in problem selection and in planning and conducting research. Only overall results are reviewed, and approval is only required for major changes in research.

The panel assigned Level D for this factor because the area is broad and complex. Approach is decided by Dr. Sample, very little technical guidance is received, and execution of work and interpretation of results are incumbent's responsibility. Results are accepted, subject to validation by the scientific community, and only broad changes in work direction require the supervisor's approval. This exceeds Level C but falls short of Level E criteria.

The panel assigned Level E for this factor because a broad area is assigned and general approach is decided by Dr. Sample. Supervision is primarily consultative due to her high level of technical expertise, her technical judgments and interpretations are considered authoritative, and she is under general supervision with full responsibility for formulating and executing research.

Factor 3

The panel assigned Level A for this factor because existing theory and methods are generally applicable. Dr. Sample must develop complete and adequate research design for the assigned problem, and select from among or adapt appropriate available methods.
Only limited innovation is required. The panel judged that Dr. Sample's past work demonstrates the requisite originality.

The panel assigned Level B for this factor because there is useful literature available, but it requires new application to areas researched. Originality is required in defining problems and in applying new combinations of physical techniques required to resolve the presence of thionitrites in protein-containing materials. Dr. Sample's work has shown her ability to isolate critical aspects of problems, and to adapt existing principles into new combinations. Level A is exceeded but not sufficiently to meet Level C.

The panel assigned Level C for this factor because relevant literature is lacking for significant portions of the research. A high degree of originality is required (particularly in defining problems and developing hypotheses), and the panel judged that Dr. Sample's past work reflects the ability to adapt existing principles into new combinations.

The panel assigned Level D for this factor because relevant literature on polyploid quantitative genetics is limited, and originality is required to study new areas and interpret results. Dr. Sample has demonstrated originality by applying statistical techniques to problems in quantitative genetics of autotetraploids and has significantly modified existing technology. This exceeds Level C but falls short of Level E criteria.

The panel assigned Level E for this factor because literature and methodology are lacking for major portions of the research, and creative extension of existing theory or methodology is necessary. Dr. Sample has extended her chemical findings to virus classification, which represents a creative extension of existing theory and methodology.

Factor 4

The panel assigned Level A for this factor because Dr. Sample has demonstrated, through satisfactory planning and execution of a few research studies, ability to define problems, plan and execute research, and report findings, with some guidance as to objectives and occasional consultations. He has authored minor papers or reports of limited scope, and serves as a source of information within the unit or on similar projects elsewhere.

The panel assigned Level B for this factor because Dr. Sample has authored technical publications at least one of which is of considerable importance to the assigned research situation. His work is beginning to be recognized as evidenced by recent invitation to present his work in a poster session at the American Chemical Society, and he shares his expertise in *Rhizobium* genetics with others. Level A is somewhat exceeded, but not sufficiently to meet Level C.

The panel assigned Level C for this factor because some of Dr. Sample's accomplishments have been of considerable interest to science or technology. She has demonstrated her ability as a mature, competent, productive worker, and deals responsibly with others in the area of seed pathology. She serves on several technical committees, and is sought for consultation.

The panel assigned Level D for this factor because Dr. Sample has developed products (varieties) which have had a major impact on usage in the U.S. and abroad. He has received several prestigious awards, is recognized as an expert in the field, and has been in leadership roles in the Crop Science Society. Level C criteria are exceeded but not sufficiently to meet Level E.

The panel assigned Level E for this factor because the accomplishments have had a significant impact on the field of nematology. Dr. Sample has demonstrated outstanding stature and received significant recognition in nematology, and has made important contributions to that field. He is constantly sought for consultant purposes in his area of expertise and has contributed significantly to several professional societies.

Other considerations to bear in mind when preparing an ARS-516 are:

- Do not report that a certain score was assigned but "points were deducted for lack of recency." The consensus decision will be at the lower level, and the panel will never have actually assigned the higher score.

- Maximum points creditable by a “regular” panel when scoring a case at Level F are 12 points for Factors 1-3, and 24 points for Factor 4. (It is, however, rare for a GM/S-15 position to warrant Level F for all four factors.) Also, because splitting Factor 4 is not permitted, 22 points cannot be assigned for Level F.

- Reports should contain only remarks pertinent to the current classification decision. It is especially important to **avoid comments which could lead to false expectations**.

- "General Comments" are to be used only when necessary to document emerging deficiencies requiring correction to preclude future evaluation difficulties. Use a variation of one of the following statements, or a comparable statement, tailored to the incumbent's specific circumstances:

  "The panel is concerned about the dearth of senior-authored publications in refereed journals [or other evidence of independent research or research-related activity.]"

  "Minimal participation in scientific meetings is severely limiting incumbent's stature and recognition."

  "Incumbent's nonresearch activities--specifically, _______--appear to be interfering with research productivity."

- To facilitate reporting of initial scores, transfer initial factor/total points to the space provided at the top of page 1 of the worksheet.

- To facilitate discussion and editing during the panel meeting, **the IDR must bring**:

  - a hard copy of the writeup and exhibits for each case assigned by the Chair (for possible reference), and,

  - seven (7) paper copies of each completed ARS-516.

- To facilitate editing and timely issuance of panel reports, the IDR must e-mail a copy of each completed ARS-516 to the Personnel Representative **no later than the Thursday prior to the panel meeting.**

During the Meeting

During panel meetings, the RGEG is used to help identify points of disagreement among panelists and focus discussion on such points. The procedural sequence for each case is as follows:

The meeting opens with a review of procedures by the Chair and Personnel Representative. The Chair stresses the necessity of maintaining confidentiality of deliberations.

Consideration of each case begins with the panelists each reporting the 1-3 highest-rated accomplishments and initial factor scores. These data are recorded by the Personnel Representative on an overhead projector transparency of the Research Evaluation Score Sheet (ARS-517).

The Chair identifies points of difference among panelists. Significant differences among initial scores will indicate where discussion should be focused.

The IDR then distributes the completed ARS-516 and presents to the panel a **brief** oral report of the major points from the factfinding process, to include:

- Rationale for levels initially assigned to each factor.

- Observations (if any) on writeup content, weaknesses, and other relevant considerations. These views are strictly advisory information to the panel.

- Major discrepancies (if any) between the case writeup and actual position/incumbent facts which must be corrected. The case writeup must support the panel's consensus decision.

  Note: If after discussion, the panel determines that such discrepancies cannot be resolved and that failure to resolve them would prevent a fair evaluation, an **Insufficient Factual Basis (IFB)** decision is appropriate.

General panel discussion follows the IDR report. Specific questions may be directed to the IDR or other panelists to obtain additional or clarifying information. IDR's must bring their notes from contact discussions to the meeting to facilitate answering questions.

The Chair then leads a factor-by-factor discussion and evaluation of the case, usually beginning with Factor 4 and proceeding to Factors 1-3. The panel reaches unanimous agreement (consensus) on each factor and overall decision, except when review results in a **Split Decision (SPL)**.

When the panel cannot reach consensus within a reasonable time:

- The case may be "tabled" and brought up again later after other cases have been decided. If appropriate, additional clarifying information will be sought by telephone during the intervening period. "Tabled" cases must either be decided by the conclusion of the meeting or resolved as previously discussed.

- The case may be returned for revision and submission to another panel if additional information/clarification is needed before a decision can be reached (an IFB decision). **The panel report must specify the needed information/clarification**.

- If consensus cannot be reached, a Split Decision is recorded. The panel divides into majority/minority groups. The majority finalizes its version of the panel report in the usual manner (see below). The factor or factors in dispute are identified and the minority drafts its version of those factors to reflect its view. **Both majority and minority reports must be finalized before the meeting adjourns** and given to the Personnel Representative.

- Within 2 weeks of the panel meeting, the Personnel Representative has both reports typed in final and forwards them (along with one complete copy of the case writeup and exhibits) to the RPE Staff. The Staff transmits the package to the AA-ROM for resolution. The AA-ROM will render a final decision (from among the authorized options) as quickly as possible.

Panelists are not authorized to retain any case materials (except exhibits) on positions they review. Case materials, all initial scoring data, and related notes (including IDR factfinding notes) will be disposed of at the conclusion of the panel meeting.

> **Note**: Panelists dispose of all CD's (by breaking or scratching the recording surface) upon return to duty station after the meeting.

Producing the final report is an essential step in the panel process. The IDR's statements--as recorded on the ARS-516--are edited as necessary to reflect the views of the panel as a whole, with any agreed upon changes being recorded by the Personnel Representative.

> **Note:** The final report is to be a "full-panel" product and is not to be "left to the Personnel Representative" to complete.

The panel report serves several purposes:

- To document the results of the position classification review for official personnel purposes.

- To provide classification feedback to the incumbent. Panels cannot make statements binding on future panel decisions, so reports will not "explain what a scientist needs to do to get promoted." Reports will, however, identify grade-threatening deficiencies which should be addressed before the next cyclic review.

- To provide management an additional measure of progress of the incumbent's research program and to alert management to potential problems.

Classifying a position using the "person-in-the-job concept" requires judging the incumbent's research career. This process touches on the incumbent's professionalism, judgment, capabilities, motivation, and accomplishments in relation to the research assignment. The process is thus a highly personal matter to the incumbent.

Those preparing the panel report must be sensitive to the probable difficulty of the incumbent--and to a lesser extent, of the supervisor(s)--in being objective about the evaluation. The report must therefore be factual and carefully worded. When shortcomings or suggestions from a classification point of view are made, they must be clearly and concisely stated. **Highly subjective, personal, or controversial information has no place in the report.**

To provide additional time for panel deliberation on other cases under review, two types of decisions do not require preparation of panel reports:

- **For UPG decisions**: The panel will not edit the ARS-516. The Personnel Representative will note the consensus scores and any remarks the panel believes appropriate. The ARS-516 will be discarded.

- **For REF decisions**: Reports are not issued when a "regular" panel reviewing a GM/S-15 position reaches a REF decision; i.e., assigns 56 or more points. The ARS-516 will be discarded, the Personnel Representative will simply note that a consensus REF decision was reached, and the appropriate AD will be notified by the RPE Staff. The Staff will also issue notices to referred scientists to prepare their cases for submission to the Supergrade Panel. (Supergrade Panels will issue narrative reports for each position reviewed.)

  Caution: The above procedures regarding UPG and REF decisions only affect action **after a panel reaches such consensus decisions**. The IDR must complete an ARS-516 for each position assigned to them, regardless of how they initially score the case. An IDR's failure to prepare an ARS-516 does not relieve the panel of its responsibility to generate a report when a consensus decision other than UPG or REF is reached.

Through the Chair, panels may send memoranda or e-mail (separate from the panel report) to AD's expressing concern over perceived long-standing or emerging worksite problems.

However, panels are not research managers, and neither the panel report nor any separate communication should infringe on management responsibilities and authority.

After the Meeting

Panel Ratings. Chairs rate panelist performance, and panelists rate panel operation, on forms provided by and returned directly to the RPE Staff. These ratings relate strictly to panel performance and, except for Personnel Representatives, are **not** considered in the employee's annual performance appraisal. The evaluations are intended to assist in identifying training needs and in determining the acceptability of panelists and Chairs for continued panel service.

Final Panel Report. For decisions other than UPG and REF, the Personnel Representative will incorporate panel edited reports into final form for e-mail issuance to the scientist's immediate supervisor through the appropriate AD.

For UPG and REF decisions, the Personnel Representative will follow procedures explained above.

The supervisor is required to provide a copy of the panel report to the scientist.

All questions regarding panel decisions and determinations must be referred to the Personnel Representative.

Chapter 9: Ad Hoc Panels

Ad hoc panels are usually convened to determine--using RGEG criteria--the final grade level of Category 1 vacancies being filled by selectees from various sources, generically referred to as New Hires. New Hire panels are required for most selections at and above GM/S-13 and may also be convened in other situations (see P&P 431.3-ARS). Ad hoc panels may occasionally be convened to handle other noncyclic review situations.

There are a few minor differences between ad hoc and cyclic review panels: ad hoc panels usually review only one position; only five (rather than seven) panelists are required; and ad hoc panels are conducted via teleconference call.

> **Note**: Ad hoc IDR's are required to make a minimum of five factfinding contacts. The IDR must contact the ARS selecting official and should contact the selectee's current supervisor**.**

A procedural summary follows:

- RPE Staff schedules a teleconference.

- RPE Staff sends a memorandum with panel arrangements, case materials, ARS-516, and ARS-517 to panelists at least 10 calendar days before the scheduled meeting date. (Scoresheets are provided for panelist convenience in recording other panelists' scores as they are reported.)

- RPE Staff selects the IDR using information from the Panelist Data Verification form completed by each peer scientist. IDR's follow normal factfinding procedures, including preparation of the ARS-516. To facilitate editing and timely issuance of the panel report, the IDR must e-mail a copy of the completed ARS-516 to all panelists prior to the teleconference call.

- As with a cyclic review panel, all panelists and the Chair must evaluate the case, with particular attention to the research accomplishments. Panelists other than the IDR may use the ARS-516 for initial scoring and to note questions and comments for clarification during panel deliberation.

- The panel applies standard RPES policy and procedures in evaluating the position. Once the panel reaches consensus on factor points and overall score, the IDR will read the ARS-516 to ensure panel concurrence. The Personnel Representative notes any consensus changes and finalizes the report for issuance.

Chapter 10: Conducting an Indepth Review

Your primary responsibility as an Indepth Reviewer (IDR) is: (1) to be able to clarify for other panelists information that is in written case materials, and/or (2) to provide information that is lacking in the written material, but which is required for a panel to make an equitable classification decision. This information will relate primarily to the scientist's accomplishments, the impact of those accomplishments, and the scientist's stature in his or her field.

As an IDR, you are to be a factfinder and an investigator, but especially a confirmer of facts and their significance as claimed by the incumbent. You must avoid becoming either the "advocate" or the "prosecutor" of the scientist whose case you are reviewing. Serving as IDR is the single most important role you will have as a panelist. The quality of your factfinding has a direct impact on the quality of the panel decision and, therefore, on the scientist's career.

Here are some pointers which will help you do a good job:

- Get familiar with the criteria relevant to classifying Category 1 positions. These are presented in the RGEG and in this Manual.

- Understanding what information to **expect** in a writeup is best learned by examining Part I of this Manual, which explains both format and content requirements. If a writeup answers all topics called for in Part I, the IDR's task becomes the simpler one of verifying the information. If all topics are not addressed in the writeup, the IDR has the additional task of finding that information so the panel will have fullest possible knowledge about the position/incumbent facts.

- In conducting factfinding interviews, focus on unanswered or unclear writeup discussion of topics from Part I. Also take advantage of people's inherent tendency to like to talk. A contact will frequently give you valuable information or perspectives if you just give the contact the opportunity to respond to general questions about the incumbent; i.e., "How would you rate Dr. Jones on a scale of 1 to 10?" Do not ask what grade level the contact believes the scientist should be. **In situations where an accomplishment was achieved via team research, it is especially crucial to pin down the incumbent's relative contribution to the overall team achievement. This may also be important when there is a question about the roles of multiple authors of a paper.**

- Agency policy requires that IDR's contact a minimum of five individuals, one of whom **must** be the immediate supervisor of the position under review. There is no maximum number of additional contacts. Use common sense; a few contacts might be adequate for a relatively straightforward case at the lower grades, but would almost certainly be totally inadequate when evaluating a more complex, higher-graded position. Seldom, however, will an IDR need to make more than 8 or 10 contacts. As IDR, you are authorized to contact anyone you believe can provide needed information. You are not restricted to names listed by the scientist on the ARS-570. Many IDR's have obtained the best results by following leads outside the contact sheet--for example, previous supervisor(s), coauthors, past or present coworkers, and others familiar with the research area such as National Program Leaders or industry and university cooperators.

- Are you authorized to contact the incumbent? We recommend you do not. Most experienced panelists feel the negatives here far outweigh the positives. When should you stop factfinding? When you believe you have enough information to answer all questions the panel is likely to pose.

  Note: If your set of case materials appears to be incomplete, please notify the Personnel Representative or the RPE Staff rather than contacting the incumbent, which would break panel confidentiality. Also, if one distributed set is incomplete it is likely that other panelists will also be missing that content. Having RPE Staff make a centralized request maintains confidentiality while minimizing the number of persons contacting the incumbent.

- Ideally, but not always, primary review responsibility will be assigned to a panelist who has competency in the discipline area of the case. However, objectivity is more critical than specific discipline knowledge. This is an important concept. Your job is to **get** the necessary information, not necessarily to **be** the original source of information.

- Some scientists complain that "the IDR didn't know anything about my field." This implies that only "true peers" can make valid judgments. But as experienced panelists and Chairs will be quick to point out, "true peers" often have the most difficulty in being objective and may be more reluctant to follow up (and report) leads which do not agree with their personal views. Bear in mind: objectivity **is** more critical than specific discipline knowledge when it comes to doing a quality indepth review.

- Begin your factfinding as soon as possible after the Chair assigns your indepth reviews. Do not put yourself in the position of missing vital information, because the person you needed to talk to "just left the country and won't be back for 2 weeks!"

- Remember that the task is to seek information in an **unbiased** manner. Resist the temptation to reveal personal opinions or evaluation of the case. What matters in RPES is the panel's **consensus** decision.

- **Do not** ask questions such as, "Should this person be promoted?" "Is he/she doing a GS-14 job?" "How does he/she get along with his/her coworkers?" If people you are interviewing volunteer such information, ignore it and above all do **not** report it to the panel! IDR's are certainly in the position of having to exercise discretion, good judgment, and common sense in reporting their observations to the full panel. **Do not** reveal to contacts your tentative classification decision. The panel may very well disagree and the final (consensus) may be very different.

- You should assure persons contacted that the information they provide will be held in confidence by the panel. IDR's should also request, in turn, that the contact maintain confidentiality concerning the IDR's identity.

- Do not call a supervisor and immediately say, "Hi! I'm the IDR on Joe's case. I need as much help as I can get on this case because this stuff is way out of my field." Saying this sets the stage for a potentially disastrous interview and a lingering doubt as to the quality of the entire panel review. Remember that you are performing an entirely legitimate, essential factfinding, and fact confirming function. There is no need to be apologetic either for intruding on someone's time or for not being a subject matter expert. You need not be performing the same or even closely related research in order to perform an effective indepth review.

- If, during the course of your factfinding interviews, you learn that the case is a reevaluation or an early review, or that the last panel decision was a GCP, or that the incumbent appealed the last panel decision, remember that such facts are irrelevant for RGEG application. Therefore, do not let such facts influence your scoring and do not convey such facts to the other panelists.

- Use e-mail to arrange mutually convenient times for personal interviews with contacts. For reasons of security, objectivity, and confidentiality, it is not wise to conduct IDR factfinding via e-mail, such as by soliciting answers to lists of questions, etc.

- If you encounter problems, let your Chair know. The Chair is an experienced panelist and may be able to suggest useful actions to resolve the problem. Since the Chair is ultimately responsible for the panel operation, he or she has a natural interest in overcoming obstacles to panel success.

- Contact the Personnel Representative serving on the panel if you have policy or procedural questions. Answering these questions is one of their principal roles on the panel. If you discover information which indicates the scientist may be a "poor performer" subject to formal performance improvement, be sure to notify the Personnel Representative immediately. The Personnel Representative will check this information with the servicing Employee Relations Specialist in the Human Resources Division.

- Outline your oral report of significant findings. Be sure to identify each person actually contacted. Although there is no prescribed format for an oral report, the most common approaches are to: (1) state who was contacted, then summarize the gist of their collective comments and observations, or (2) briefly summarize what each individual had to say. The first approach is useful when all or most of the comments are similar; the second, when you encounter greater divergence. Keep your oral report succinct and on target. You can probably anticipate most questions your fellow panelists will raise. Be prepared to address these in either your oral report or the subsequent deliberations.

- The final step in conducting a first-class indepth review is to bring a solid draft panel report to the meeting. Details about completing the ARS-516 are provided earlier in this Manual. The main points here are to: (1) keep the fact statements and rationales concise and responsive to factor criteria, and (2) remember to include the required summary statements for each factor (including those scored at either Level B or Level D). Just remember that the better the draft you bring to the meeting, the quicker the panel can edit the final report and finish its job.

Caution: If you are not the IDR on a given case, do **not** make any factfinding contacts. Contacts from several persons on a panel can be confusing and irritating to supervisors and other contacts. If you have unresolved questions after initial scoring, either refer them to the designated IDR for investigation or record "+" or "-" scores and adjust during the panel meeting based on the IDR report and subsequent discussion.

A parting thought: It is no secret that service as an IDR is **the most critical role** in the entire RPES process. Doing a good job as an IDR is not difficult, but is admittedly a bit time-consuming and requires organization, perception, good judgment, wisdom and--above all--common sense. Your dedication and good work as an IDR are absolutely essential in ensuring that the system works accurately and fairly, and that it is perceived to be such by ARS scientists.

Chapter 11: RGEG and Additional Evaluation Guidance

The RGEG is posted on the OPM web site at <http://www.opm.gov/fedclass/gsresch.pdf>, and is incorporated herein by reference.

This chapter provides additional ARS-specific interpretative guidance for applying the Guide to Category 1 positions.

RPES Grade Conversion Table

The Grade Conversion Table on page 7 of the RGEG shows 46-50 points as the GS-15 point range. Using criteria provided in the RGEG, it is not possible to score a position above 50 points. The Department has established an ST evaluation plan to permit scoring positions as ST. See "ST (Supergrade) Evaluation Criteria" below.

The following tables depicts GS-15 and ST point ranges for RPES purposes:

Factor Level Point Values		
Level	**Factors 1-3**	**Factor 4**
A	2 points	4 points
B	4 points	8 points
C	6 points	12 points
D	8 points	16 points
E	10 points	20 points
F	12 points	24 points

Point Range	Grade Conversion
8-14	GS-11
16-24	GS-12
26-34	GS-13
36-44	GS-14
46-54	GS-15
56-60	ST

Interpretation of the RGEG

The RGEG is used in classifying positions involving a researcher's personal performance either individually or as a team member, and leadership of a research team or organizational unit where the primary basis of selection is research competence and capability rather than supervisory or administrative ability. Whenever the size of a team or organizational unit or other management concerns dictate the need for marked supervisory and administrative ability in a position, other classification standards may be appropriate.

The RGEG is based on the premise that an incumbent's stature, and impact can greatly expand a given research position in depth and/or scope. Thus, a research position cannot be classified without considering an incumbent in the position. It is important to remember that the RGEG aims at assessing the **impact and quality** of an employee's scientific contributions. **Quantity** of publications is discussed as being (at best) of secondary significance as an indicator of contribution.

Interpretation of several extremely important RGEG concepts is critical when using the Guide. Interpretations relevant to ARS are discussed in the following sections. Other issues which sometimes become involved in application of the RGEG are also discussed.

- **Appropriateness of the RGEG**

  When using the RGEG, a major concern is whether a position involves research for which the RGEG is the appropriate classification standard. The research environment is described in Part I of the Guide.

  When an incumbent is not performing responsibly in the complete research process, or when a position's primary activities fall outside of the research boundaries, the position is nonresearch and the RGEG is not the appropriate position classification standard.

  Some scientific positions are intended to provide professional support to research positions in carrying out the program work of ARS. Their incumbents perform responsibly in a complete research process, but are involved in a support role. To illustrate, a person might be receiving training and perform in all activities of the research process, but with extremely close supervision--use of the RGEG would be appropriate. On the other hand, a person might be heavily involved in planning and executing experiments and analyzing data, but not be substantively involved in the other activities of the process. Such a position is research support and the RGEG is not appropriate. Regardless of grade level, a support position will generally have limited (if any) involvement in the problem definition and results interpretation phases of the research process.

  There are other types of scientific nonresearch positions (involving neither responsibility for nor participation in all activities of the research process) that perform program work for ARS where the work is of a service-type nature. The RGEG is not appropriate for these positions.

Another way to determine if the RGEG is an appropriate classification standard is to examine the end product of an incumbent's work. This can be done by evaluating the expected results stated in the research assignment to see if a research accomplishment may result. If it is determined that no significant accomplishments will result when measured in Factor 4, the RGEG is not an appropriate classification standard.

- **Changing Assignments** (see Factor 4 introductory discussion):

  Assessing qualifications when an incumbent changes research assignments is sometimes a concern. The RGEG points out that the total qualifications of a researcher must be considered as they bear on the dimensions of the current research situation and work performance. On the other hand, the RGEG states, "A researcher in one field may move into a related field. Such a move does not change Factor 4 credit if the researcher will perform research work in the new field at substantially the same level of competence as before after a reasonably short period."

  How far expertise can be stretched or how quickly new expertise can be acquired must be evaluated on a case-by-case basis. When a panel determines that an incumbent can be expected to make the transition, full credit should be given. However, if the panel determines that the employee's expertise cannot reasonably be expected to fully meet the minimum requirements of the new assignment, full credit for past accomplishments should not be given.

Long-Term vs. Short-Term Research

Long-term research projects such as watershed research, fruit tree genetic studies, or large animal research, often require several seasons or generations in order to conduct a single experiment. By contrast, short-term research may require only a few weeks to complete an experiment. Some scientists engaged in long-term research feel this time differential places them at a disadvantage in terms of RGEG criteria--presumably because of undue concerns about numbers of publications. If panelists avoid the fallacy of giving undue weight to quantity (such as mere number of papers), and instead assess quality and impact, this disadvantage is a misperception because:

- Short-term, quickly completed experiments generally yield only partial solutions to a larger problem. A series of short-term experiments is normally required to generate a significant accomplishment.

- Usually, more than one long-term experiment can be conducted simultaneously by a single scientist and, in addition, research programs can be a mixture of long- and short-term projects.

- The amount of effort and time required to produce an accomplishment is weighed, as well as the impact of the accomplishment, in evaluating research positions.

- Factor 4 also considers peer recognition and consultation activities. These facets are more dependent on competence and informally recognized contributions than on mere numbers of publications. Thus, if panels follow the intent of the RGEG in evaluating Factor 4 (count quality accomplishments and consider professional standing and recognition in a scientific field to cross-check), the issues of basic vs. applied, long-term vs. short-term, or any other classification comparison of research are irrelevant. The RGEG only attempts to distinguish quality and impact.

Patents and RPES

This information was jointly developed with the ARS Office of Technology Transfer (OTT) to clarify consideration of patents in the RPES.

- **Flow of Patent Documents**

  ARS Scientist prepares an Invention Report in the Agricultural Research Information System which, along with related documentation, is submitted through line management to the Patent Advisor serving the Area.

  ARS Patent Advisor performs preliminary prior art review of Invention Report to make an informal assessment of patentability. This assessment is reported to an ARS Patent Committee.

  ARS Patent Committee reviews the Invention Report based upon prescribed criteria and recommends disposition of the case. The Patent Committee may recommend the case be approved for patenting, deferred for more information, or suspended, in favor of other means of technology transfer, including publication. The ARS scientist receives a letter with the decision of the ARS Patent Committee. Patent Committee decisions may be appealed by the ARS scientist to the Assistant Administrator, OTT.

  ARS Patent Advisor prepares and files the patent application with the U.S. Patent and Trademark Office (USPTO) and is responsible for patent prosecution.

  USDA Patent Attorney in Office of General Counsel (OGC) reviews patent application for adequacy.

- **Other Relevant Information**

  The term "patent pending" means that the USPTO has received, logged, and issued a patent application number. No technical review of any sort (other than within ARS and USDA) can be inferred from this term.

  A license can be issued during the "patent pending" period or after the patent is issued. Licenses are of two types: "nonexclusive," which means that any number of firms may receive the right to make, use, or sell the invention; or "exclusive," which restricts these rights to one or a very limited number of firms. Exclusivity may be necessary to encourage a firm to make the investment required to make the invention commercially available and useful to the public.

It is a requirement of U.S. law that Inventors who are Federal employees receive a license incentive award (portion of license fees) annually on royalty bearing licenses. Licensees are required to submit annual reports explaining the use being made of the invention. Twenty years after the patent application was filed, the patent expires and the invention enters the public domain. The patent does, however, remain as prior art in its field.

Under U.S. patent law, a patent applicant has 1 year from the date of publication, or other public disclosure or use, to file for a U.S. patent covering the invention. After that, or if the patent application is not pursued, anyone may use the technology. Foreign patent rights are lost if a written or oral disclosure occurs before a U.S. or foreign patent application is filed.

- **Key Points of RPES Credit Policy**

Patents are a mechanism of technology transfer.

As with publications, the number of patents is not as significant as the **impact** of the invention. In the case of ARS patents, impact is measured largely in terms of technological, economic, social, or commercial impact.

There are **three points** when a patent should be considered for credit under RPES procedures:

- The award of a "notice of allowance" by PTO is comparable to acceptance and publication of a manuscript by a refereed journal.

- A scientist can document significant application of the invention in terms of new products, improved products, lower cost to consumers, stimulation of investment or some other form of demonstrable impact. This may include licensing of the application or patent and subsequent progress toward commercial use.

- The Demonstrated Originality (Factor 3) segment of the case writeup may cite patents, CRADA's, or licensing agreements as evidence of a scientist's originality.

Patents are of equal value as manuscripts in terms of documenting accomplishments. But both manuscripts and patents are usually significant only in terms of their subsequent impact.

To determine the status of a patent or a patent application, contact the Patent Advisor assigned to the case.

Grants and RPES

Funded grants may be considered as another "typical exhibit" for research, technology transfer, and systems research/integration Demonstrated Accomplishments.

When a grant document is submitted as a Demonstrated Accomplishment exhibit, it will consist of minimum essential materials. This is comparable to the existing policy on using books as exhibits. Specifically:

- The exhibit should consist of the approval memo/letter from the granting authority, with the peer reviewing body's analysis of the proposal and the initial proposal attached, if combined package does not exceed 25 pages.

- If combined package exceeds 25 pages, only the technical summary should be submitted, along with one full-length paper copy which the Research Position Evaluation Staff will deliver to the IDR.

Funded grants are to be listed under Other Significant Information.

Grant **proposals** are not to be listed. They have the same relative (and limited) value as a manuscript not yet accepted for publication, an Invention Report, or a pending patent.

ST (Supergrade) Evaluation Criteria

The September 2006 RGEG revision eliminated formerly available criteria for evaluating positions above GS-15, and required agencies to develop their own ST criteria subject to their department's approval. The criteria in **Exhibit 2** have been approved by the Department for use by "regular" panels in reaching REF decisions, and for use by Supergrade Panels in submitting cases to the Department for allocation as ST.

Chapter 12: Glossary

AA-ROM. Associate Administrator for Research Operations and Management.

AD. Area Director.

ADODR. Authorized Departmental Officer's Designated Representative.

AD-332. (Available in e-Forms.) Position Description Cover Sheet.

ARS-229. (Available from the RPES Internet Home Page.) Special Form - Factor 4, Level F Criteria.

ARS-514. (Available from the RPES Internet Home Page.) Research Position Evaluation Case Writeup (Cover Sheet).

ARS-516. (Available from the RPES Internet Home Page.) Research Position Evaluation Worksheet.

ARS-517. Research Evaluation Score Sheet.

ARS-570. (Available from the RPES Internet Home Page.) Indepth Reviewer Contact Sheet.

Case Writeup. The research position description (see definition below), Factor 4, exhibits, ARS-514, and ARS-570, and (for Supergrade Panels) ARS-229, considered as a package.

Category. An ARS system of administrative designations for groups of positions having generally similar characteristics, primarily for personnel and budgetary tracking purposes. Category has no legal or administrative significance outside of ARS. Some positions may perform duties from more than one category. ARS categories established for professional scientific positions are as follows:

- **Category 1 (Research Scientist).** Permanent scientific and engineering positions in which the highest level of work, for a major portion of time, involves personal conduct or conduct and leadership of investigations that have one or more of the following objectives: to determine the nature, magnitude, and interrelationships of physical, biological, psychological, social, and other comparable phenomena and processes; to create or develop empirical, theoretical, or experimental means of investigating such phenomena and processes; or to develop principles, criteria, methods, and data of general applicability. Such positions meet the Research Responsibility criteria outlined in the RGEG. Category 1 positions are SY positions.

- **Category 2 (Nonpermanent Research Scientist).** For RPES purposes, professional research scientific positions which are established on a nonpermanent basis and filled through temporary or term appointments; i.e., Research Associate or Research Affilliate.

CD. Center Director or compact disk.

Chair. An ARS official designated to lead (but not direct) panel deliberations. The Chair also acts as the management representative on the panel. Chairs are usually supervisory or managerial personnel, such as Research Leaders, Laboratory Directors, Center Directors, or Associate Area Directors.

CRADA. Cooperative Research and Development Agreement.

CRIS. Current Research Information System.

Electronic publication. Material distributed as a finished product in a digital format, including CD-ROM, magnetic tape, floppy disk, electronically readable/viewable/transmittable files (via the Internet or other telecommunications medium), and so on, is considered a publication if it would be considered a publication in print. Software and digital databases (including simulation models and expert systems) distributed as products with user and/or technical documentation or other user aids such as tutorials are regarded as publications. Online databases that are frequently updated are not publications.

GCP. Grade/Category Problem.

GM. General Schedule employees in the former Performance Management and Recognition System.

GS. General Schedule.

GSSG. OPM General Schedule Supervisory Guide.

IDR. Indepth Review or Reviewer.

IFB. Insufficient Factual Basis.

Indepth Reviewer. A panelist designated to conduct the factfinding for one or more cases to be considered by a given panel.

LD. Laboratory Director.

Leadership. For RPES purposes, is either formally recognized leadership--Level I, II, or III, as defined herein--**or** scientific leadership (apart from any supervisory or managerial duties) which reflects a researcher's personal stature and promotes research activity on the part of other scientists.

Mixed Position. A position performing duties classifiable by two or more standards, e.g., the RGEG and GSSG.

New Hire. For RPES purposes, a selectee for Career or Career-Conditional appointment to a Category 1 position. Persons serving in an ARS position on other than Career or Career-Conditional appointment are therefore considered "New Hires," regardless of length of service under such other appointment.

OPM. U.S. Office of Personnel Management.

Panel. A group of RPEC members chosen to review and determine the proper category and grade level of positions currently designated as Category 1, using criteria of the RGEG. Panels exercise delegated classification authority, and render final (not advisory) grade level decisions.

Panelist. A member of the RPEC (Chair, Peer Scientist, or Personnel Representative) assigned to serve on a particular panel.

PDF. Portable Document Format.

Peer Group. A group of research scientists in similar fields of research who can make valid judgments on research methodology, available literature, and the significance and impact of research findings in their respective fields. Research scientists self-affiliate with the peer group most appropriate for their research discipline and may change their affiliation at any time by notifying the RPE Staff.

Peer Scientist. A research scientist assigned to serve on a panel.

Personnel Representative. An ARS Human Resources Specialist assigned to serve on a panel.

Position Description. For RPES purposes, the position description consists of Factors 1 and 2, and Factor 3-A and 3-B of the case writeup. Factor 3-C and Factor 4 are not part of the position description.

REF. Refer to Supergrade.

Research Associate (Post-Doctoral). A Category 2 position, funded by the Office of the Administrator or locally for up to 2 years, filled by a professional scientist who received a Ph.D. within 3 years of appointment. Incumbents of such positions serve on a nonpermanent appointment to perform projects of a limited nature, which are segments of broader projects assigned to senior ARS research scientists (see P&P 150.1-ARS).

Research Associate (Visiting Scientist). A Category 2 position normally filled by a senior scientist or technical expert who performs research in an ARS facility on a short-term basis.

Such scientists may be on leave of absence (sabbatical) from their parent organization. The positions are locally funded and do not represent a plan or promise of continued employment (see P&P 150.1-ARS).

RGEG. OPM Research Grade Evaluation Guide.

RIG. Remain in Grade.

RL. Research Leader.

RPEC. Research Position Evaluation Committee.

RPES. Research Position Evaluation System (or Staff).

SPL. Split Decision.

ST. Scientific and Professional Pay Plan.

UPG. Upgrade.

Exhibit 1 - Model GS-9 Position Description

A. **Introduction**

This position is located in _________ [complete organization designation, down to unit level], at [City], [State]. The mission of the unit is to conduct research on _____________. The purpose of this position is to perform research projects which directly contribute to the unit mission.

B. Duties

Conducts research projects in the area of _________________________________. This research is a component of ARS National Program _________ [NP code]–___________ ___________ [NP title]. Plans and carries out individual experiments within prescribed approaches. Devises and recommends alternative methods of standardized analysis to solve problems. Prepares manuscripts reporting findings from experiments conducted, including initial interpretation of significance to the overall project. Performs tests and analyses by applying established analytical methods and procedures or by operating an automated analytical system according to established operating procedures. Devises, recommends, and with the supervisor's approval, modifies methods that are needed to obtain the information requested.

C. Evaluation Factors

1. Knowledge Required by the Position (FLD 1-6, 950 points)

A professional knowledge of principles, theories, and practices of ________, a knowledge of methods and procedures, and skill in calibrating and operating analytical instruments sufficient to independently solve problems which can be solved by application of standard practices and independently perform a variety of established analyses and tests of various substances.

Skill in independently selecting and applying precedents and established methods and practices to solve problems susceptible to standard practices.

Skill in making method modifications.

2. Supervisory Controls (FLD 2-3, 275 points)

The supervisor assigns the work by defining the overall objective, priorities, and deadlines and gives suggestions on unprecedented problems or factors in the assignment.

Incumbent is expected to independently plan and carry out each assignment, handling problems encountered in accordance with previous training and accepted practices.

Completed work is reviewed for technical soundness and conformance with the assignment's requirements.

3. Guidelines (FLD 3-3, 275 points)

In general, precedents are available in the form of previous studies on related subjects, standard methods in textbooks, handbooks, and other literature, and possibly, from manuals or procedure.

These guides do not always specifically apply to the work. Therefore, the incumbent must use judgment to evaluate, select, and adapt the established guidelines to specific requirements and problems in the work, and analyze results to ensure that the changes are valid.

4. Complexity (FLD 4-3, 150 points)

Research studies may be complex but are characterized by clear and specific objectives, investigation of a limited number of variables, and self-directed work in planning and carrying out experiments in accordance with approaches which have been structured by others.

Problems encountered can usually be solved by minor modification of the established methods and procedures.

5. Scope and Effect (FLD 5-3, 150 points)

Incumbent performs varied phases of research of limited complexity within a plan structured by senior unit scientists. The results of the work affect the scientific adequacy and accuracy of unit research projects.

6. Personal Contacts (FLD 6-2)

The personal contacts are with scientists and technicians in the immediate unit and other laboratories.

7. Purpose of Contacts (FLD 7b, 75 points)

The personal contacts are to discuss methodological problems and possible solutions, to obtain information, and to report the progress and results of the work.

8. Physical Demands (FLD 8-2, 20 points)

The work requires prolonged standing.

9. **Work Environment (FLD 9-2, 20 points)**

   The work involves regular and recurring exposure to chemical, radiological and/or biological agents. Special safety precautions are required and incumbent uses protective clothing and gear. The incumbent must adhere to facility security policies and procedures.

Total Points = 1,915

Exhibit 2 - ST (Supergrade) Evaluation Criteria

USDA Classification Guide for Evaluation of Senior Research Positions

Introduction

This guide is intended to supplement the Office of Personnel Management's Research Grade Evaluation Guide (RGEG) as revised on September 7, 2006.

Unlike earlier editions of the RGEG, the September 7, 2006, revision provides criteria only up to the GS-15 grade level (e.g., Level E). This guide continues policies and procedures which were in place prior to the RGEG revision and uses the former In Excess of Degree E criteria as the USDA criteria. For consistency with RGEG progression patterns, these criteria are now labeled as Level F. Criteria and point values are shown in the following paragraphs.

Level F Definitions

Factor 1, Research Assignment (12 points)

The research situation is characterized by:

- Responsibility as a team leader for formulating and guiding a broad scale attack on problems in frontier areas of critical importance to major national programs. The project is of such complexity and scope that it must be sub-divided into a number of separate experimental and theoretical research phases, several of which are typical of Level E of this factor in the RGEG; or,

- Responsibility for attacking basic research problems of such fundamental interest, extraordinary difficulty, and resistance to attack that:

    - there have been numerous attempts by highly competent scientists to explore the area and to gain a fundamental understanding of the processes or phenomena;
      new hypotheses, concepts, and techniques must be developed for attack, and interpretation; and,

    - successful performance of the work will lead to the major modification or important extension of current theory.

In either of the above situations, the assignment and leadership exercised influence the shaping of agency program goals, advancement of programs and understanding in the total field, and the planned activities of numerous scientists in Government, academic institutions, and private industry.

Factor 2, Supervisory Controls (12 points)

The supervision received is characterized by:

- a degree of confidence in and reliance on the researcher's productivity, competence, and judgment such that there is an unusual level of support of their recommendations and their most novel and as yet seemingly fruitless investigations;

- responsibility such that interpretations, recommendations, and conclusions having major impact on matters of great urgency and significance are furnished other agencies and the professional community without reference to or knowledge of higher authority in the agency; and,

- a supervisory relationship that fully reflects recognition of the researcher as both a top technical authority in the field in the agency and a distinguished and brilliant scientist.

Factor 3, Guidelines and Originality (12 points)

The work is characterized by the application of such unusual productivity, creativity, and depth of insight into the fundamental nature of phenomena and their relationships as to produce a substantial variety of new methods and techniques, of new approaches to formerly intractable problems, of identification of new problems to be attacked, and of important new concepts and discoveries, inclusive of the type described in Level E of this factor in the RGEG. New areas are opened up for exploration, the findings have widespread applicability to other fields of science and technology, and there is likely to be a major stimulus to scientific and technological effort and achievement in the field of endeavor.

Factor 4, Contributions, Impact, and Stature (24 points)

The scientist is a nationally recognized authority and leader in an area of widespread scientific interest and investigation. The scientist will typically have received honors and awards from major national or international organizations for his or her accomplishments. The scientist is sought as an advisor and consultant on scientific and technological programs and problems which extend well beyond his or her own field. The researcher’s reputation as a scientific leader is such that he or she serves as a recruiting attraction for recent graduates or visiting scientists who seek opportunities to work under his or her inspiration and guidance in order to benefit from the scientist’s imaginative fire, critical judgment, and advanced research technique. The scientist’s personal competence is likely to be a major consideration in parent Service, Department, or other governmental agency sponsorship of programs in his or her field.

Scoring

The Agricultural Research Service and the Forest Service may establish minimum scoring patterns. For example, a minimum score of 56 points may be required before a scientist may receive further consideration for promotion beyond the GS-15 grade level. If a minimum score is established, an evaluation panel must ensure that Factor 4 fully satisfies Level F (i.e., Factor 4 must be scored 24 points; a score of 12-12-12-20 does not meet the required minimum score).

ARS Scoring Policies

Implementing the above, ARS has opted to continue Agency scoring policies established in February 2005.

A minimum score of 56 points is needed for a "regular" panel to reach a Refer to Supergrade (REF) decision. In reaching this score, the panel must ensure that Factor 4 fully satisfies Level F, i.e., Factor 4 must be scored 24 points. A score of 12-12-12-20 is *not* acceptable for REF.

- The minimum score for Area Director referral to a Supergrade Panel is 54 points (the top of the GS-15 point range).

If the Supergrade Panel assigns a total of 54 or fewer points, the position remains classified at GS-15.

If the Supergrade Panel assigns a total of 56 or more points, the case will be forwarded to the Department for official allocation as ST.

TRAVEL

TRAVEL – DOMESTIC This section is being revised.

Official Telephone Calls – Domestic

Official Telephone Calls – Outside the 50 States

Acceptance of Travel Funds from Non-Federal Sources

CONUS (visit: GSAs website for Per Diem Rates)
COUNTY SEARCH for per diem (see: http://www.naco.org/Template.cfm?Section=Find_a_County&Template=/cffiles/counties/usamap.cfm)

FOREIGN PER DIEM: (See: http://www.state.gov/m/a/als/prdm/

FOREIGN COUNTRY/CITY CODES: (See: http://dab.nfc.usda.gov/pubs/docs/tflc/tflc/foreigncodes.html

TRAVEL VOUCHER CHECK LIST

TRAVEL – FOREIGN

Passport & Visa Requirements

Passport forms

NFC Bulletin RE: Foreign Codes

Country 2-Letter Codes

Travel Foreign Location Codes (Country and City Codes)

From: Archie Tucker{PRIVATE }
To: RL-MSA
Date: 4/28/04 2:42PM
Subject: Travel Authorization "Remarks" Section

April 28, 2004

SUBJECT: Travel Authorization “Remarks” Section

TO: Research Leaders
Mid South Area

FROM: /s/ Archie Tucker
Deputy Area Director
Mid South Area

Effective April 29, 2004, all Travel Authorizations (AD-202’s) MUST include a statement in the “Remarks” section which identifies the purpose of the travel. In the case of meetings, conferences and workshops, state the particulars of the meeting and a justification for the employee's participation. This requirement applies to all authorizations approved at the MU and location levels, as well as those approved at the Area Office.

The approving official should not sign the authorization if there is not an acceptable statement in the “Remarks” section.

If you have any questions, please contact Ms. Carolyn Norquist, MSA Transportation Assistant, at 662-686-5384.

cc:
E. G. King
D. L. Brennan
J. P. Jordan
D. S. Magee
C. Norquist
LAO's
RL Secretaries

cc:
Brennan, Deborah; Jordan, J. Patrick; King, Ed; LAO-MSA; Magee, Debra; Norquist, Carolyn; RL-SECY-MSA; Tucker, Archie

Official Telephone Calls

Add the following statement to all travel vouchers when requesting reimbursement for personal phone calls.

> **"This is to certify that personal calls made during official travel comply with the requirements of DR 2300-3."**

Domestic Allowances

The maximum aggregated amount that may be approved for each travel period (i.e., consecutive days of official travel) cannot exceed the amount equal to the daily reimbursement rate multiplied by the number of lodging nights.

If travel is **within** the 50 states, the District of Columbia, Puerto Rico, or the Virgin Islands, the maximum reimbursement is **$5.00 a per day**.

Your Agency will pay for official calls when authorized by a travel approving official as a necessary expense related to travel. This includes calls while on temporary duty status and during transfer-of-station (relocation) travel.
Official calls are considered a necessary expense to accomplish the mission of the travel purpose.

To make an official long distance telephone call while on official travel employees should use agency provided phone cards or government issued cellular phones. In the event that the employee does not have a phone card or cellular phone, employees should use a government provided telephone system whenever possible. When the government provided services are not available, commercial services may be used.

Reimbursement for authorized personal telephone calls will be allowed for calls placed to the official duty station commuting area on the day of return from official travel for notification of a change in schedule. Authorized business telephone calls can be made on the day of return to official duty station.

Foreign Allowances

If travel is **outside** the 50 states, the District of Columbia, Puerto Rico, or the Virgin Islands, the maximum reimbursement is **$15.00 per day.**

Government-issued cell phones may be used for international calls while on official foreign travel. Based on the cost savings associated with long distance rates in cell phone contracts, employees must use the long-distance service, when available, on the government-issued cellular phone for international calls. However, hotel access charges should be charged as a miscellaneous travel expense.

Calling cards may be purchased by contacting Maureen Harris by email as follows:
Maureen.Harris@ARS.USDA.GOV Under the FTS2001 contract, employees may receive calling cards if requested by their supervisor. The only charge is the cost of whatever calls are made.

Just send me an email with the names of the individuals and the type of access needed (ie, international/domestic/world-wide [which includes high fraud countries such as China]) and I will place the order.

Comp Time Off for Travel

Creditable time is

- Transit time – planes, car, etc.
- Travel to terminal
- Time on flight
- Waiting time between flights
  - Domestic – 1 hour
  - Foreign – 2 hours (extra time must be approved by supervisor on a case by case basis)
- Commute time to work is not allowable
- If you stop for a meal that is deducted
- Outside tour of duty

No limit to amount of Comp Time for Travel approved by the Supervisor.
CTT is earned and used in 15 minute increments.
Must be reported within two pay periods or it will be forfeited.
Must be used within 26 pay periods of the pay period in which it is credited or it will be forfeited.
For transfer or separation there is no monetary value.

See P&P 402.3 Section 5

Suffixes must be used with codes to indicate the Comp Time is for travel
Comp Travel Earned 78 32
Comp Travel Used 78 64

REQUESTING OUTSIDE FUNDS FROM NON-FEDERAL SOURCE FOR TRAVEL

1. Prepare a memo to Dr. King requesting acceptance of funds.

2. Provide with the memo a copy of the letter or email which invites the traveler to participate or present at the meeting and states exactly what is to be provided.

3. Provide a memo to the non-federal source of the acceptance of funds and specifically state how payment is expected.

4. Await approval before preparing and AD-202.

5. Always include on the AD-202 the unit's accounting code to cover salary and miscellaneous expenses not covered by the non-federal source.

[print on letterhead]

June 12, 2004

SUBJECT: Request for Payment for Travel Expenses
From Non-Federal Source

TO: Edgar G. King
Director, Mid South Area

FROM: Craig Abel
Acting Research Leader
Southern Insect Management Research Unit

NAME OF TRAVELER(S): Carlos Blanco
Research Entomologist
USDA, ARS, MSA, SIMRU

NAME OF CONTRIBUTOR: T N & Associates, Inc.
1033 N. Mayfair Road, Suite 200
Milwaukee, Wisconsin 53226

AMOUNT OF CONTRIBUTION: Approximately $ 1,600

TYPE OF CONTRIBUTION: Transportation, lodging and meals to be furnished "in-kind". ARS will pay allowable expenses not paid by contributor and continue to pay salary.

PURPOSE OF TRAVEL: Dr. Blanco has been invited to speak at the Development of Strategic Monitoring for Ecological Impacts from Crops with Plant Incorporated Protectants Conference.

TRAVEL DATES: August 2 - 6 , 2004

APPROVED/NOT APPROVED: ___________________________ ___________
Area Director, MSA Date

[print on letterhead] **Acceptance Letter**

June 12, 2004

David Eskew, Ph.D
T N & Associates, Inc.
704 S. Illinois Ave. Suite C-104
Oak Ridge, Tennessee 37830

Dear Mr. Eskew:

This is in response to your emailed letter acknowledging that Dr. Carlos Blanco was asked to participate as a speaker on the program of the EPA's Development of Strategic Monitoring Programs for Ecological Impact from Plant Incorporated Protectants Conference in Arlington, VA, August 3-5, 2004.

We are pleased to advise you that Dr. Blanco will attend this conference and will accept your offer to pay travel expenses, in kind. We understand that you will reimburse establishments directly for meals and lodging and that airline tickets will be sent directly to Dr. Blanco. The Agricultural Research Service will continue to pay his salary and all additional travel expenses not paid by T N & Associates, Inc.

Sincerely,

EDGAR G. KING
Area Director

United States Department of Agriculture
Research, Education and Economics

ARS * CSREES * ERS * NASS

Bulletin

Title:	Acceptance of Travel Expenses from Non-Federal Sources
Number:	00-305
Date:	March 13, 2000
Originating Office:	Financial Management Division, Travel and Relocation Services Branch, ARS/AFM
Distribution:	All REE employees
Expires:	*September 30, 2001

This bulletin announces new Office of Ethics guidance on acceptance of travel expenses from non-Federal sources. **(*The expiration date of this bulletin is extended on 5/8/01)**

On January 7, 2000, the Office of Ethics (OE) announced the implementation of Ethics Issuance 99-2, Acceptance of Travel Expenses from Non-Federal Sources. This bulletin is issued to implement new policy and requirements from OE in a timely manner. REE Policy and Procedure (P&P) 341.2, Acceptance of Travel Funds from Non-Federal Sources, dated November 22,1999, will be updated with this new guidance at a later date.

Changes:

1. **A Conflict of Interest Analysis form has been generated by OE.**

2. **The Conflict of Interest Analysis form must be signed by an Ethics Advisor.**

3. **The Approval and Report of Travel Funds Received from Non-Federal Sources form has been modified to require the employee's signature and date and the approving official's signature and date.**

4. **The original of the Approval and Report of Travel Funds Received from Non-Federal Sources, Conflict of Interest Analysis, letter of offer, and the letter of acceptance will be forwarded to the ARS/AFM, Financial Management Division, Travel and Relocation Services Branch on the scheduled reporting dates established in Policy and Procedure 341.2.**

Note: Copies will be accepted. However, every attempt should be made to submit the original documents as they will be forwarded to OE for retention for 4 years.

Forms:

Exhibit 1, **Modified** - Approval and Report of Travel Funds Received from Non- Federal Sources form.

Exhibit 2, **New** - Conflict of Interest Analysis form.

NOTE: The new and modified forms will be required for the reporting period October 1, 1999, through March 31, 2000, and must be submitted to ARS/AFM, Financial Management Division, Travel and Relocation Services Branch by April 15, 2000.

If you have questions concerning either travel policies or ethics you may contact Linda E. Mahoney on 301-504-1307 or contact your agency, Area, or the REE Ethics Advisor, Sandra Herring on 301-504-1442.

/s/
S. M. HELMRICH
Director
Financial Management Division

CONFLICT OF INTEREST ANALYSIS UNDER 41 C.F.R. § 304-1.5

ACCEPTANCE OF PAYMENT FROM A NON-FEDERAL SOURCE FOR TRAVEL EXPENSES requires in all cases that a conflict of interest analysis be performed by an authorized agency official. The "authorized official" is a designated Ethics Advisor or REE Ethics Advisor(s). To ease administration of the requirement for a conflict of interest analysis, this outline tracks the elements of the regulation. The analysis should be accomplished on this page. ***Additional sheets may be attached if needed.***

IMPORTANT: Payment from a non-Federal source shall not be accepted if the authorized agency official determines that acceptance under the circumstances would cause a reasonable person with knowledge of all the facts relevant to a particular case to question the integrity of agency programs or operations.

In making this determination, an authorized agency official shall be guided by all relevant considerations, including, but not limited to:

(1) The identity of the non-Federal source *(see reverse for identifying information);*

T N & Associates, Inc.

(2) The purpose of the meeting or similar function;

To develop strategic monitoring programs for ecological impact from plant incorporated protectants.

(3) The identity of other expected participants;

Bob Frederick (EPA), Phil Dale, Doug Gurian-Sherman, Sharlene Matten (EPA), Bruce Tabashnik (U of AZ), Tony Shelton, Klaus, Ammann, Wayne Parrott, LaReesa Wolfenbarger, Rich Hellmich (USDA-ARS), Jeff Wolt, Janice Thies, Neal Stewart, Mark Bagley, Jay Reichman, Terry Hurley, Steve Bartell, and Peter Kareiva.

(4) The nature and sensitivity of any matter pending at the agency affecting the interests of the non-Federal source;

None.

(5) The significance of the employee's role in any such matter specified in (4) above; and

My role is to give a paper and participate in the discussion over the best strategic monitoring program effort.

(6) The monetary value and character of the travel benefits offered by the non-Federal source.

The monetary value would include value of air travel to Arlington, VA and per diem estimated to around $1,600.

Analysis: Acceptance of the travel WOULD cause a reasonable person with knowledge of all the facts relevant to a particular case to question the integrity of agency programs or operations?

Yes _________ No ____X_____

Explain your response to the above question: <u>**It is public information already.**</u>

NOTE: The authorized agency official may find that, while acceptance from the non-Federal source is permissible, it is in the interest of the agency to qualify acceptance of the offered payment by, for example, authorizing attendance at only a portion of the event or limiting the type or character of benefits that may be accepted.
The qualifications on acceptance, if any, are:

Recommendation of Ethics Advisor: Accept _____ Do Not Accept _____

Signature/Date:____ / ___________

RESEARCH, EDUCATION, AND ECONOMICS
APPROVAL AND REPORT OF TRAVEL FUNDS RECEIVED FROM NON-FEDERAL SOURCES

This form must be completed in its entirety or it will be returned. 31 U.S.C. 1353, subsequently printed in Chapter 304, Part 1, of the Federal Travel Regulations, and governs the acceptance of payment for travel, subsistence, and related expenses from a non-Federal source, but not from a prohibited source, in connection with the attendance of an employee and/or accompanying spouse when applicable, at certain meetings and similar functions. Agencies are also required to submit semiannual reports of payments which total more than $250 per event, and which have been accepted under this authority. The report is based on when payment is received rather than when travel is performed. All offices must submit their Approval and Report of Travel Funds Received From Non-Federal Sources for each event that totaled more than $250 to: USDA, ARS, Financial Management Division (FMD),Travel & Relocation Services Branch (TRSB), Room 3-2176A, 5601 Sunnyside Ave., Beltsville, Maryland 20705-5114. For the period October 1 through March 31 - submit reports by April 15 and for the period April 1 through September 30 - submit reports by October 15. Each Approval and Report of Travel Funds Received From Non-Federal Sources must have a copy of the Letter of Offer, Conflict of Interest Analysis, and Letter of Acceptance attached when submitted to FMD.

Employee

1. Name: **Carlos** (First) **Alberto** (MI) **Blanco** (Last)

2. Position Title : **Research Entomologist**

3. Duty Station : **USDA-ARS, SIMRU, Stoneville, MS 38776**

4. Telephone No.: (**662**)-**686-5251**

5. Beginning Date of Travel: **8-2-04**

6. Ending Date of Travel : **8-6-04**

NOTES: ____

Spouse(If Applicable)

7. Name: ____________________________________
First MI Last

See FTR Chapter 304, Part 1, Acceptance of Payment From a Non-Federal Source for Travel Expenses and FPM Letter 451-7, Reimbursement of Travel Expenses of Individuals Attending Awards Ceremonies and REE Policy and Procedure 341.2, Acceptance of Travel Expenses form Non- Federal Sources

8. Beginning Date of Travel: __________-_________-________

9. Ending Date of Travel : __________-_________-__________

10. Reason for Spouse's Travel__________________________

____

Event Information

9. Kind of event:(check one):

[] Meeting [] Seminar

[**X**] Conference [] Speaking Engagement

10.Location of Event:

Arlington, (City) **VA** (State/Country)

11.Title of Event: **Development of Strategic Monitoring for Ecological Impacts from Crops with Plant Incorporated Protectants**

12.Name of Event Sponsor: **Environmental Protection Agency**
Address: **Environmental Protection Agency**
Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460

Acceptance Information

13 What expenses are being paid for by the non-Federal source?

[] Common Carrier [] Lodging

[] Meals [] Other(Itemize)

14.Value (in U.S. Dollars) received from non-Federal source:

[] In Kind $____________

[] Paid to Agency $____________

[] Other (Explain) ____

I certify that the information provided on this form and all attached documents are true, complete, correct, and comply with the guidelines of 41 CFR Part 304-1, Federal Travel Regulations, Acceptance of Payment From a Non-Federal Source, for travel expenses, to the best of my knowledge.

Traveler's Signature____Date______________________________

I certify that I approved acceptance of the above travel, subsistence and related expenses from the non-Federal source in advance of the proposed travel being accomplished by the employee and after having reviewed the conflict of interest analysis on the reverse of this sheet.

Approving Official's Signature ____ Date ______________________________

From: Carolyn Norquist**{**PRIVATE **}**
To: Actual Subsistence Group - 12/04
Date: 12/17/04 1:01PM
Subject: Outside Funds Report - Revised Form

The attached is the revised form that needs to be completed on all travel where outside funds is provided. DO NOT modify the form, it must be the same as the one attached. When completing the form make sure you have "Insert" off so you can "typeover" and you also need to turn your "underline" on with each line you complete.

You no longer have to wait for me to send out a notice that it is time to send in your outside funds reports. Once the trip is complete the form should be completed and sent to me. **Do not complete before the trip takes place.**

The report must be mailed or FedEx'd so that I will have the original signature.

RESEARCH, EDUCATION, AND ECONOMICS
APPROVAL AND REPORT OF TRAVEL FUNDS RECEIVED FROM NON-FEDERAL SOURCES

This form must be completed in its entirety or it will be returned. 31 U.S.C. 1353, subsequently printed in Chapter 304, Part 1, of the Federal Travel Regulations, and governs the acceptance of payment for travel, subsistence, and related expenses from a non-Federal source, but not from a prohibited source, in connection with the attendance of an employee and/or accompanying spouse when applicable, at certain meetings and similar functions. Agencies are also required to submit semiannual reports of payments which total **more than $250 per event**, and which have been accepted under this authority. The report is based on when payment is received rather than when travel is performed. All offices must submit their Approval and Report of Travel Funds Received From Non-Federal Sources for each event that totaled more than $250 to: USDA, ARS, Financial Management Division (FMD), Travel & Relocation Services Branch (TRSB), Room 3-2176A, 5601 Sunnyside Ave., Beltsville, Maryland 20705-5114. For the period October 1 through March 31 - submit reports by **April 15** and for the period April 1 through September 30 - submit reports by **October 15**. Each Approval and Report of Travel Funds Received from Non-Federal Sources must have a copy of the Letter of Offer, Conflict of Interest Analysis, and Letter of Acceptance attached when submitted to FMD.

Employee	**Spouse(If Applicable)**
1. Name: ______________________________ **First MI Last**	**7. Name:** ______________________________ **First MI Last**
2. Position Title : ______________________________	**See FTR Chapter 304, Part 1, Acceptance of Payment From a Non-Federal Source for Travel Expenses and FPM Letter 451-7, Reimbursement of Travel Expenses of Individuals Attending Awards Ceremonies and REE Policy and Procedure 341.2, Acceptance of Travel Expenses form Non-Federal Sources**
3. Duty Station : ______________________________	
4. Telephone No.: (_______)-________-______________	
5. Beginning Date of Travel: _________-_________-__________	**8. Beginning Date of Travel:** __________-_________-__________
6. Ending Date of Travel : _________-_________-__________	**9. Ending Date of Travel :** __________-_________-__________
NOTES: ______________________________ ______________________________	**10. Reason for Spouse's Travel**______________________________ ______________________________

Event Information	**Acceptance Information**
9. Kind of event:(check one):	**13 What expenses are being paid for by the non-Federal source?**
' Meeting ' Seminar	**' Common Carrier $**______________
' Conference ' Speaking Engagement	**' Lodging $**______________
10.Location of Event:	**' Other(Itemize) $**______________
______________________________,______________ **City State/Country**	______________________________
11.Title of Event: ______________________________	**14.Value (in U.S. Dollars) received from non-Federal source:**
12.Name of Event Sponsor:___________________________	**' In Kind $**_____________
Address:___________________________	**' Paid to Agency $**_____________
___________________________	**' Other (Explain)** _______________________

I certify that the information provided on this form and all attached documents are true, complete, correct, and comply with the guidelines of 41 CFR Part 304-1, Federal Travel Regulations, Acceptance of Payment From a Non-Federal Source, for travel expenses, to the best of my knowledge.

Traveler's Signature____ **Date**_____________________________

I certify that I approved acceptance of the above travel, subsistence and related expenses from the non-Federal source in advance of the proposed travel being accomplished by the employee and after having reviewed the conflict of interest analysis on the reverse of this sheet.

Approving Official's Signature____**Date**_____________________________

00-305FormR (Revised 12/2004)

From: Carolyn Norquist{PRIVATE } **(see table with revised fees)**
To: MSA All
Date: 10/14/05 1:34PM
Subject: EDS Fees

Important Notice on EDS Ticketing Fees; please distribute to all travelers!

Starting October 3, 2005, EDS began charging service fees directly to travelers for the use of the EDS system or call in reservation service. These fees will be charged directly to the charge card used to pay for the tickets issued. When a traveler uses their individually billed Bank of America Government charge card to pay for a ticket, they will receive a charge to their card for ticketing service.

EDS will notify the traveler of the amount of the fee using the email in the traveler's profile for that notification. If the traveler's email is incorrect or missing, EDS will not be able to provide notification. The USDA contract does not require EDS to use any form of communication other than email for the fee notification. It is important that traveler's verify their email with the reservation agent when purchasing tickets through EDS. If the email is incorrect, the reservation agent will be able to correct the traveler's profile.

If the ticket was paid using a GVTS account, the traveler should NOT claim the fee amount on their voucher. The amount of the fee will be entered into the TRVL system, but the payment method will be GV and the traveler will not be reimbursed directly for the fee. Any EDS fee for tickets charged to the GVTS account will be paid through the GVTS and not through reimbursement to the traveler.

EDS fees are:
$27.09 for use of the call in service to purchase a airline ticket for an domestic flight.
$29.70 for use of the call in service to purchase an airline ticket for an international flight.
$11.00 for online reservation service that requires no agent intervention. Any communication with an agent, either through a subsequent call to the call in service or use of the "Message to agent" function on the online service will automatically elevate the service to a call in fee (see the two fees above). The $11.00 is for either a foreign or a domestic ticket purchased on line.

EDS will also charge for delivery of paper ticket. This fee is in addition to any fee that the airline may charge for the issuance of a paper ticket. The additional EDS fee is for deliver paper ticket charges only. These fees are:
$5.89 Paper Ticket Delivery (Delivery Charge in Addition to Transaction Fee)
$13.48 Paper Ticket with Express Delivery (Delivery Charge in Addition to Transaction Fee)
$29.56 Paper Ticket with Courier Delivery (Delivery Charge in Addition to Transaction Fee)

EDS fees are reimbursable and should be claimed on the travel voucher. A copy of the fee notification or a charge card statement with the notice of the fee should be attached to the voucher to confirm the fee charged. Travelers who have already filed vouchers without claiming the fee may file a supplemental voucher for the amount of the fee.

In the NFC TRVL system, the fee will be entered under Section C - Transportation Costs, as follows:
-- Line 22 Method of Payment, indicate payment method -- CC for fees charged to an individual's Bank of America Travel Card, and GV for fees charged to the GVTS (remember, the

amount of the fee, when paid by GVTS WILL NOT be entered as a miscellaneous expense and will only be entered under Section C with a GV payment indicator).
-- Line 23, Vendor/Carrier, enter "ED"
-- Line 24, Identification Number, enter the EDS Reference Number found on the email notification sent by EDS.
-- Line 25, Car Miles, leave blank (when entering EDS fees).
-- Line 26, Amount, enter the amount of the fee.

If the traveler receives more than one fee, they will receive multiple notices, and the different fees should be entered on separate lines. Traveler will receive more than one fee when they purchase a ticket and request deliver of a paper ticket -- they will receive a fee notice for the ticketing service and a fee notice for the delivery charge.

Travelers who use Southwest may also receive two fee notices. This will occur when their travel plans include using Southwest for a portion of the travel and another airline for the other leg(s) of the trip. Southwest does not participate in the airline fulfillment services that most airlines agree to use. As a result, Southwest tickets cannot be combined on tickets that include other airlines, and multiple tickets are issued -- one for the participating airlines and one for Southwest.

Cack Norquist
Area Transportation Assistant
USDA, ARS, Area Admin. Office
P.O. Box 225
Stoneville, MS 38776
Voice (662) 686-5384
FAX (662) 686-5373
cnorquist@ars.usda.gov
or
cnorquist@msa-stoneville.ars.usda.gov

REVISED FEDTRAVELER FEES

Effective January

Service	**New Fee** (Effective January 1, 2007)	**Prior Fee** (Through December 31, 2007)
Booking Fees		
Domestic Travel Call In Airline and/or Rail Ticketing Service (hotel and/or car rental reservations on same itinerary included at no extra charge)	$29.95	$28.10
International Travel Call In Airline and/or Rail Ticketing Service (hotel and/or car rental reservations on same itinerary included at no extra charge)	$34.25	$22.40
Domestic or Foreign Call In hotel and/or car rental reservation (with no airline or rail reservation ticketing on the itinerary)	$12.45 No Change (NC)	$12.45
Domestic or Foreign Online Air and/or Rail Ticketing (hotel and/or car rental reservation on same itinerary included at no extra charge)**	$10.03	$8.18
Domestic or Foreign Online hotel and/or car rental reservation (no air or rail reservation ticketing on the itinerary)**	$7.24 (NC)	$7.24
Paper Ticket Delivery Fees (in addition to booking fees when service is used)		
Paper Ticket Delivery by U.S. Mail	$6.73 (NC)	$6.73
Paper Ticket Delivery by Express Delivery Service	$15.45 (NC)	$15.45
Paper Ticket Delivery by Courier	$29.56 (NC)	$29.56

** Remember – any agent intervention on an online booking will generate the fee associated with a call in booking. Agent intervention occurs when requesting special handling through the message feature on the online booking tool, or by a call to an agent subsequent to making reservations online.

Forms for Requesting Travel

Items 1 or 2 could be used by the traveler to request permission to travel and provide information for the preparation of the AD-202, Travel Authorization. Item 3 could be used by traveler upon return from trip to provide information for the AD-616, Travel Voucher, and receipts.

1. MDA-85A

2. Request for Approval to Travel (yellow)

3. Post Travel Information (green)

REQUEST FOR TRAVEL

TITLE OF MEETING AND SPONSORING ORGANIZATION			DESTINATION
OPENING DATE	CLOSING DATE	TRAVEL TO BEGIN	TRAVEL TO END

KIND OF MEETING (Circle One)

International   Other Overseas   Common Interest   National

Statewide   Work-Related   Training   Regional

LIST OTHER COUNTRIES TO BE VISITED ON OFFICIAL TIME IF “INTERNATIONAL” OR “FOREIGN” TRAVEL INDICATED

MODE OF TRAVEL (Circle One)

RECOMMENDED PER DIEM $ LDG $ M&IE

ACTUAL SUBSISTENCE $ LDG $ M&IE

Common Carrier   Gov’t Vehicle   Personal Vehicle

NAMES & TITLES OF PARTICIPANTS	OFFICIAL STATION	ESTIMATED TRAVEL EXPENSES		
		TRANS.	PER DIEM	TOTAL

PURPOSE OF TRAVEL AND JUSTIFICATION STATEMENT

USDA FUNDS		OTHER FUNDS	
ACCOUNTING CODE	AMOUNT	EXPLANATION	AMOUNT

APPROVALS

RESEARCH LEADER ______________________________ DATE ____________

Request for Approval to Travel (Print on yellow paper)

Please estimate all travel expenses to be sure you have adequate coverage.

Employee:______________________________ Destination: ______________________________

Estimated Dates of Travel: From_____________________ To_____________________________

Preferred Departure City: ______Greenville, MS _____Jackson, MS __________Memphis
Preferred Departure Time in Departure City _____________
Preferred Departure Time in Destination City________________

Do you have a Government Travel Card? _____ Yes ____ No

Annual Leave taken? If so, what dates ____

Transportation Mode: __Air __Gov __Pov __ Cost Comparison (Air vs Pov)

Do you need hotel reservations? __Yes __No Hotel Preference:__________________________

Will you take a Government vehicle? __ Yes __ No Do you need a rental Car? __ Yes __ No

Purpose of Travel____

Meeting Type: __Information Meeting __Training Meeting
__Speech or Presentation __ Informal Training
__Conference Attendance __ Other Travel

Title of Meeting, Training Course, Sponsoring Organization, etc:
____
Estimated Travel Expenses: Taxi _____ Parking ______
Miscellaneous Expenses (telephone calls, gas, etc, Please specify.)
____
Estimated miles to be driven: _________ Estimated cost: _________________
If you choose POV when a GOV is available, reimbursement is 10.5 cent/mile
It is extremely unusual for a GOV not to be available

NOTE: ANY ACCEPTANCE OF OUTSIDE FUNDS MUST BE APPROVED BY DR. KING PRIOR TO TRAVEL.

Will this travel be paid from outside funds? ___YES ___ NO
If yes, what is the name of the organization? ____
Estimated amount of the contributed funds: $

I, _____________________________________, choose to drive my personal vehicle in lieu of a government vehicle.
Disclaimer:
USDA/ARS/BCPRU is not liable for damages or injury to person(s) or personal vehicle if employee chooses to drive personal vehicle in lieu of a government vehicle.

(created for use by BCPRU)

POST TRAVEL INFORMATION (Print on green paper)

Please attach ALL receipts and return this form to Office Automation Assistant

Name:______________________________ Destination: ______________________________

Dates of Travel: From____________________ To_____________________________

Mode of travel: _____ Air _______ GOV ____________ POV ____________ Other
If by air, ticket amount: $_________ Travel Center Service Fee: $_________________
If by POV, total # of miles to/from destination: ______________________
If by POV to airport only, total # of miles: ______________

Note: If you choose POV when GOV is available, reimbursement is 12.5 cents per mile. It is rare when a GOV is not available.

Miscellaneous Claims:
All claims of $75.00 or more must be supported with a signed receipt.
Amount:
_____________ Registration Fees
_____________ Parking Fees
_____________ Taxi, shuttle, or limo fare, please specify: ____________________
_____________ Other expenses (Specify): ____________________
_____________ Business Phone Call, Date: ___________________
_____________ Business Phone Call, Date: ___________________
_____________ Business Phone Call, Date: ___________________
_____________ Personal Phone Call, Date: ___________________
_____________ Personal Phone Call, Date: ___________________
_____________ Personal Phone Call, Date: ___________________
_____________ Personal Phone Call, Date: ___________________
Note: You must be in travel status at least two (2) consecutive nights to claim a personal call.

Lodging Claims: (Receipts are ALWAYS Required)
_____________ Lodging Only
_____________ Lodging Tax

Car Rental Claims: (Receipts are ALWAYS Required)
_____________ Car Rental

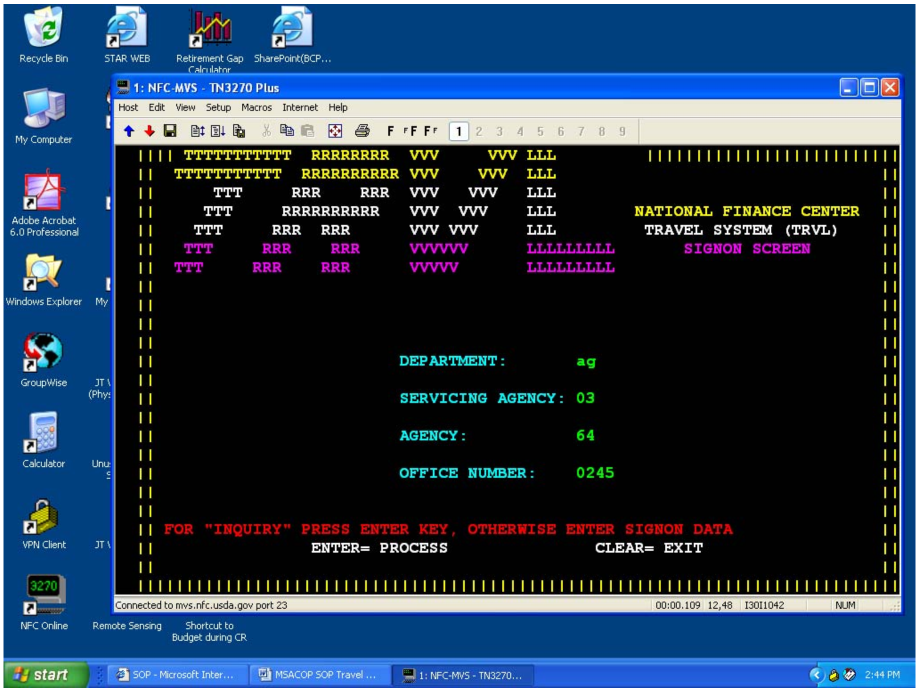
Comments: ____
____
____
____
____

Disclaimer:
USDA/ARS/BCPRU is not liable for damages or injury to person(s) or personal vehicle if employee chooses to drive personal vehicle in lieu of a government vehicle.

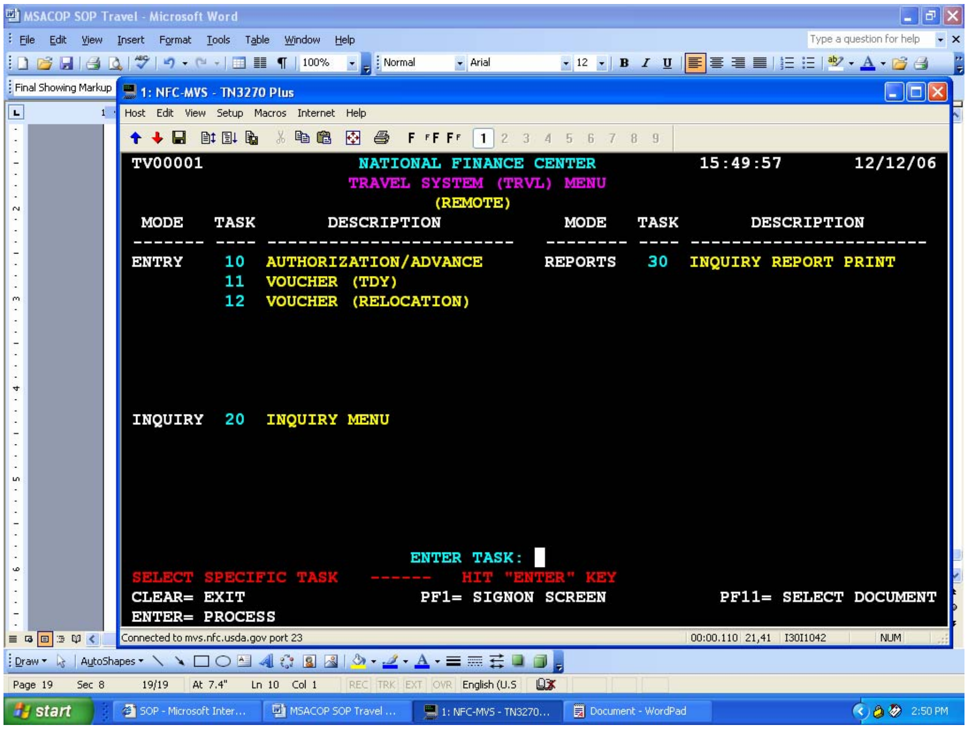
(created for use by BCPRU)

Instructions for completing an AD-202

After logging into Travel you should see the screen below. Type in your OON.

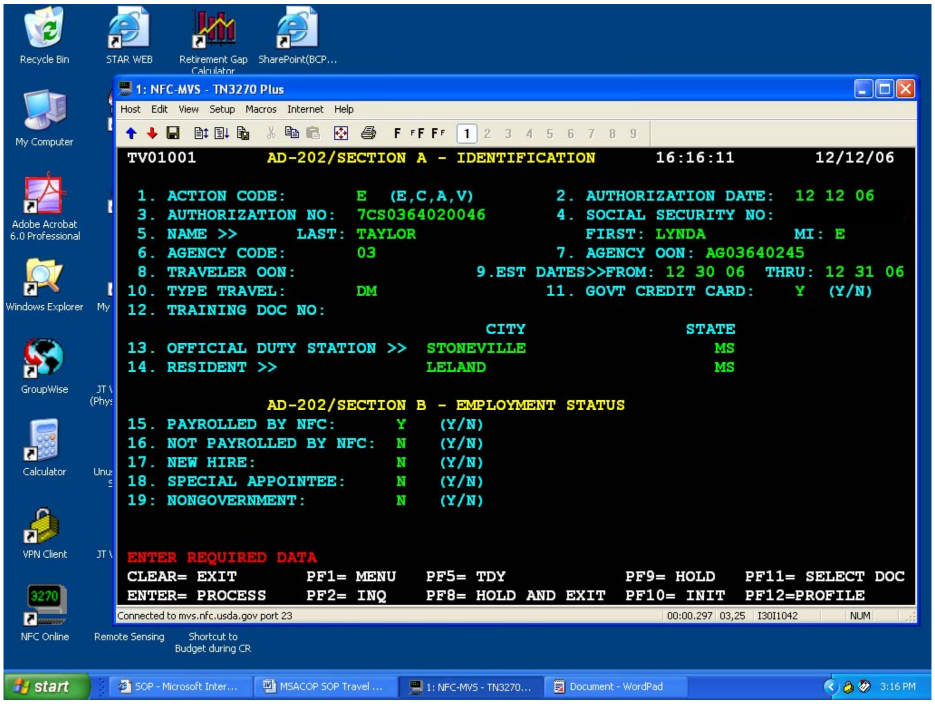


Press Enter. You should see the screen below.



Type the Task No. in the blank identified as **ENTER TASK**:

Press Enter.   You should see the screen below.



1. E = Establish; C = Cancel; A = Amend; V = Advance Only
2. program generated
3. Enter Authorization No. from your list:
   Positions (required, 13 positions)
   1st = Last digit of the fiscal year
   2nd = Type of Authorization
   A = Unlimited Open Travel
   B = Limited Open Travel
   C = Individual Trips
   L = Local Travel
   N = Nationwide Travel
   3rd = Indicator for Single or Multiple Travelers
   S = Single
   M = multiple

4th – 5th = 2-position alphanumeric paying Agency Code
6th – 9th = 4-position alphanumeric code unique to the agency
10th – 13th = Sequential number assigned by the agency

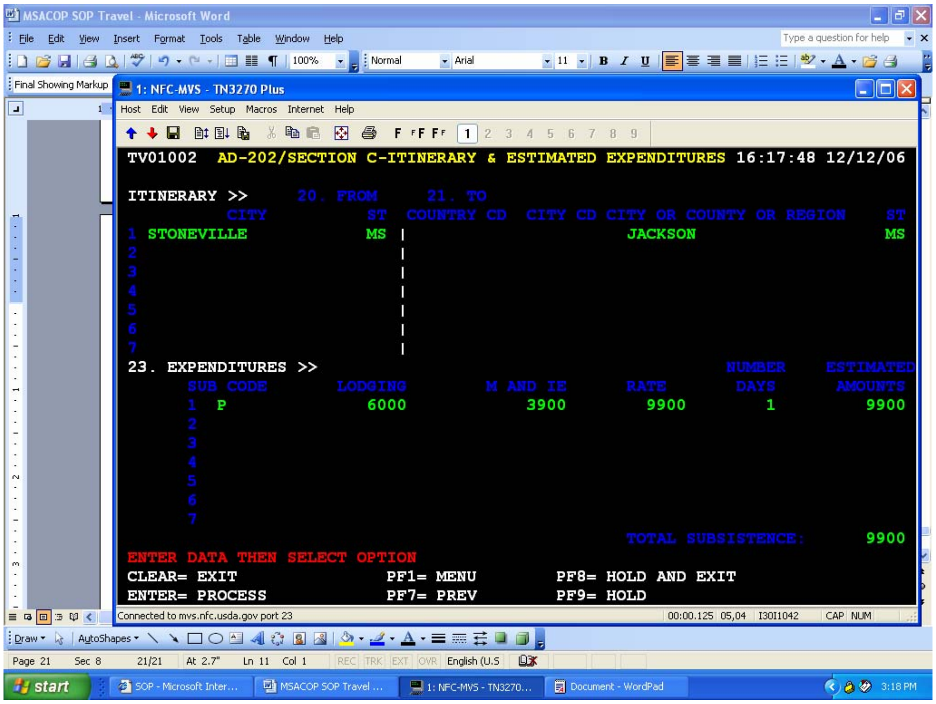
4. Social Security Number
5. Name (lname, fname, minitial)
6. Agency Code
7. Automatically generated
8. leave blank
9. Enter dated of travel
10. Type of Travel
    DM = Domestic
    FG = Foreign
    Other types of travel which you may not use or will use very seldom:

FT = Foreign Transfer; GR = Escorted Group; OC = Outside Continental U.S. (CONUS); OT = Outside CONUS Transfer of Station; RT = Return Travel; TS = Transfer of Station

11. Gov't credit card Y = yes / N = no
12. Training document number from SF-182, if travel is for training.
13. City and State of Official Duty Station
14. City and State of Residence

15-19. Indicate how traveler is paid.

Press Enter. You should see the screen below.

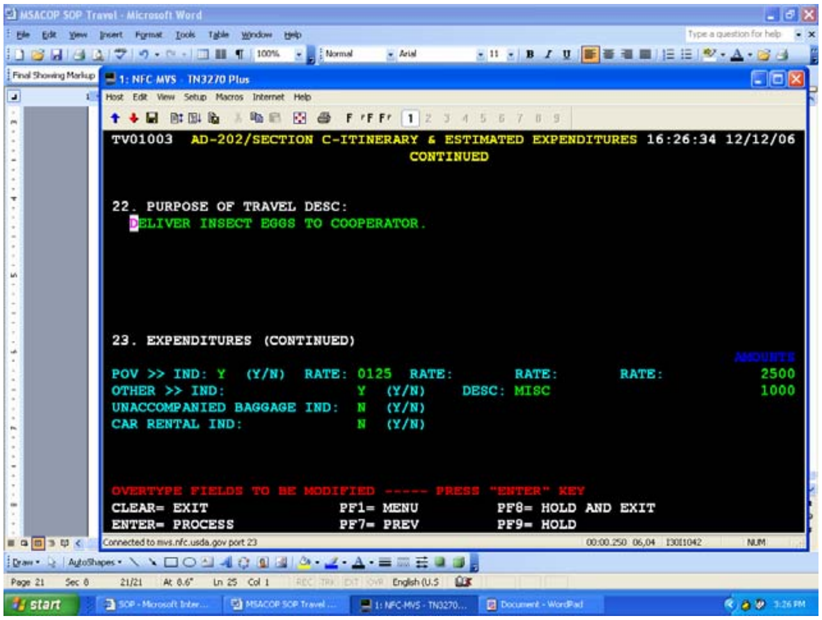


20-21. Enter the itinerary from and to

23. Identify expenditures by Sub Code
P = Per Diem
A = Actual Subsistence
S = Special Rate
C = Conference Rate

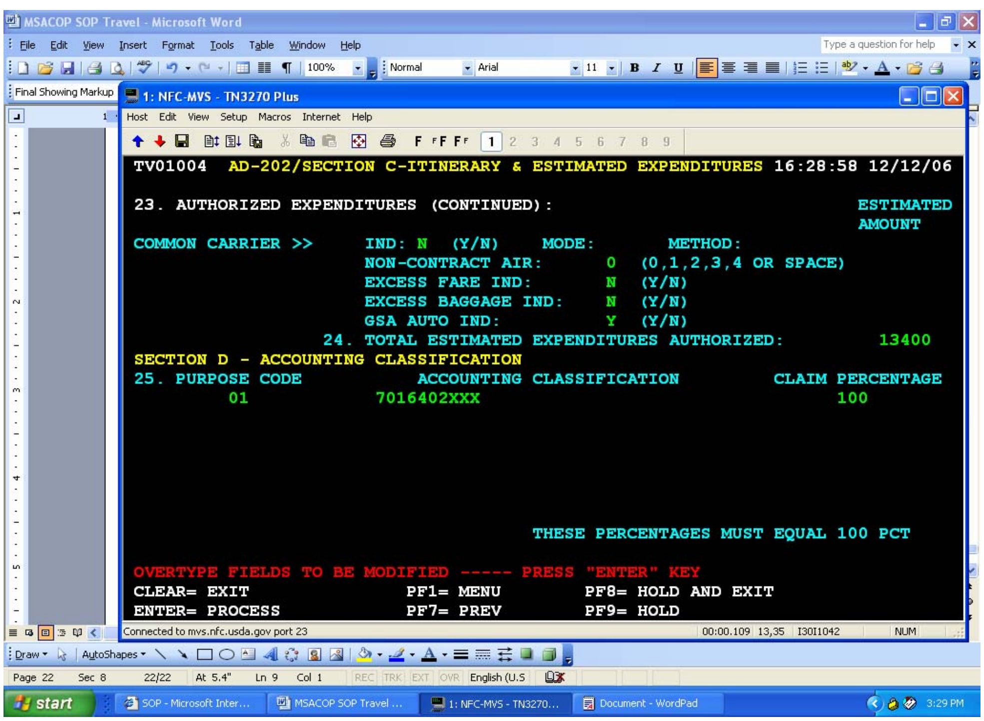
Enter the LDG and M&IE Rates for each lodging location using no decimals.
Enter the number of days as whole days.

Press **Enter**. You should see the screen below.



Enter brief statement for purpose of travel.
Split out the expenditures as requested.

Press **Enter.** You should see the screen below.



Expenditures continued:

Common Carrier   Y/N

Mode: A = Airplane B = Bus

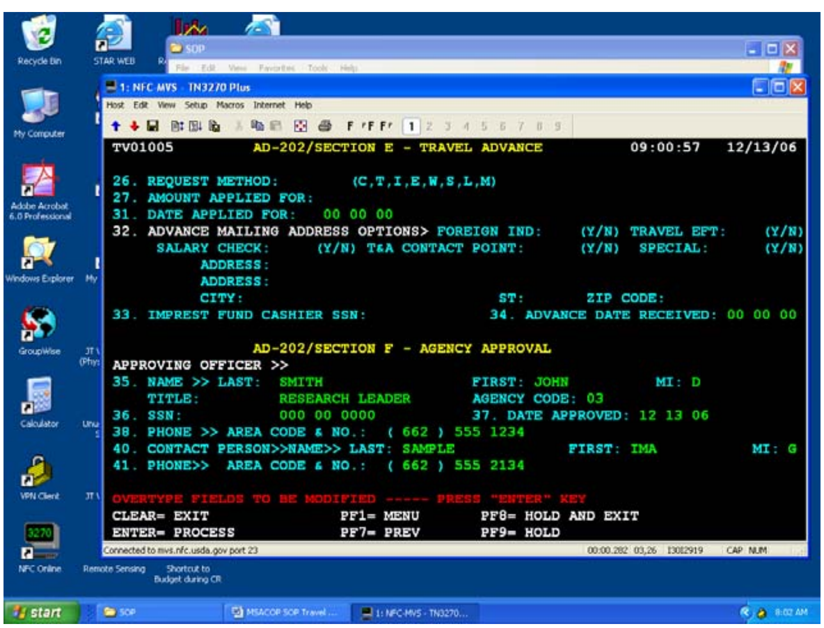
T = Train C = Air & Bus
D = Air & Train E = Bus & Train
F = Air, Bus & Train O = Other
P = Cost Comparison Travel
V = Voluntary Return

Method (of purchase): [Most of the time you will use CC, GVTS, GTR]
CC = Gov't contractor-issued charge card
CH = Cash
GV = Gov't Transportation System (GVTS)
TR = Gov't Transportation Request (GTR)
VC = Combination of GVTS and contractor-issued charge card
TC = Combination of GTR and contractor-issued charge card
HC = Combination of contractor-issued charge card and cash
VH = Combination of BGTS and cash
TH = Combination of GTR and cash
V3 = GVTS, cash, contractor-issued charge card, and GTR

Enter the amount of the fare. Mark the other items as needed: Non-contract air = 0; Excess fare = N; Excess baggage = N; GSA Auto, indicate Yes or No. [Mark yes since GOV will probably transport traveler to airport or the destination. May also be marked yes when POV is authorized.]

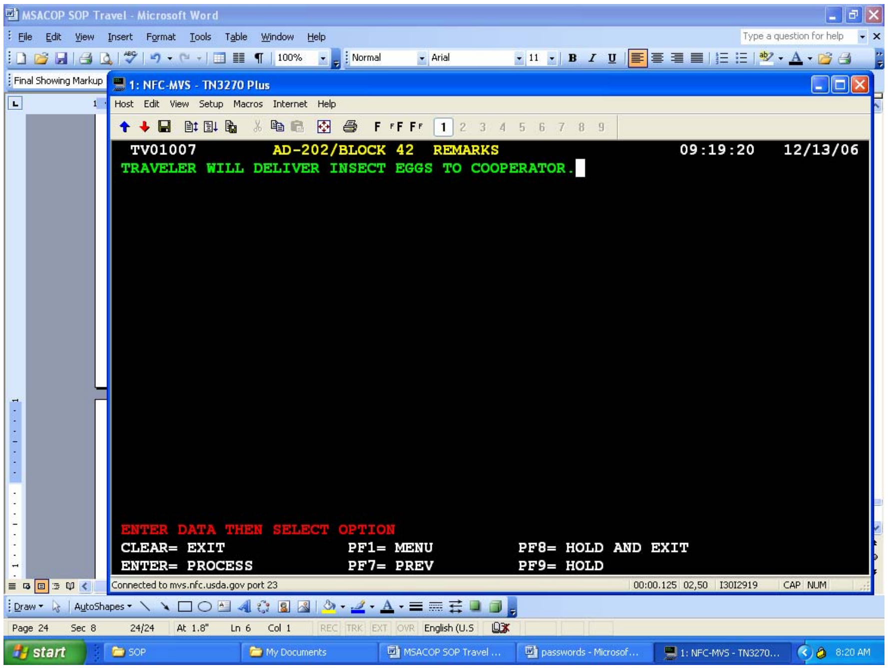
Enter the Travel Purpose Code
1 = Site Visits
2 = Information Meeting
3 = Training Attendance
4 = Speech or Presentation
5 = Conference Attendance
15 = Informal Training

Enter the Accounting Code(s) and the percentage of claim to be charged to each.
Press **Enter**. You should see the screen below.



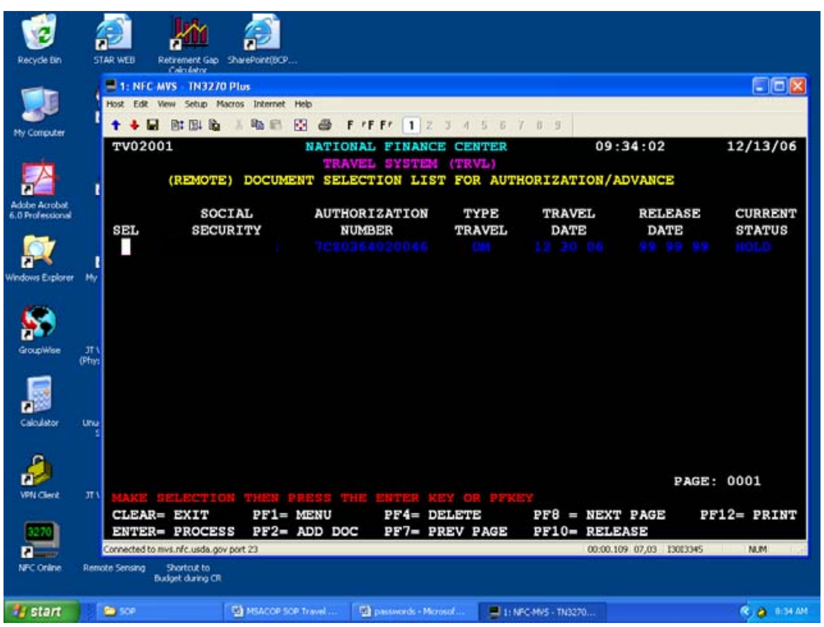
Items 26 through 34 are for advances.
Skip to item 35. Complete items 35 through 41. **Press PF9**.

You should see the screen below.

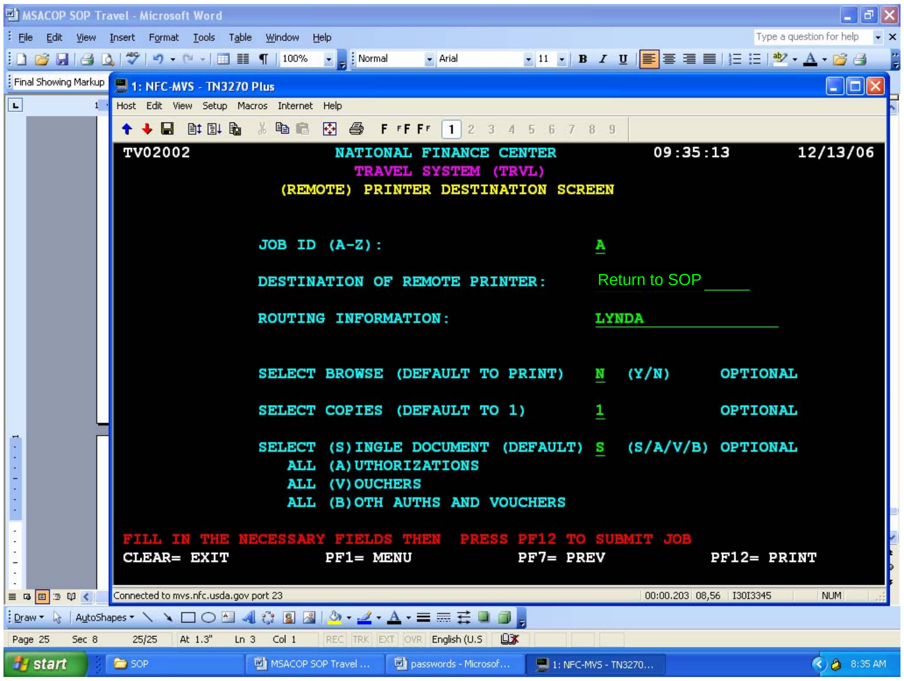


Type your remarks. Press **PF9**. This will hold the document until after you can get the signature on the hard copy. By placing the document on hold it will be protected from accidental release before receiving approval.

You should see the screen below.

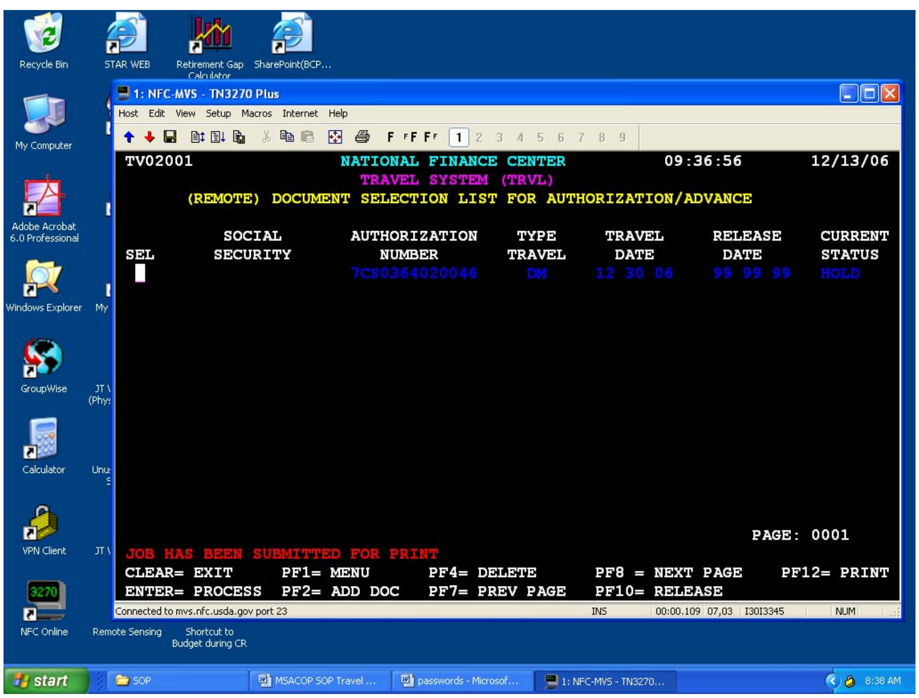


Enter **P** for print, then press the **PF12** key. You should see the screen below.

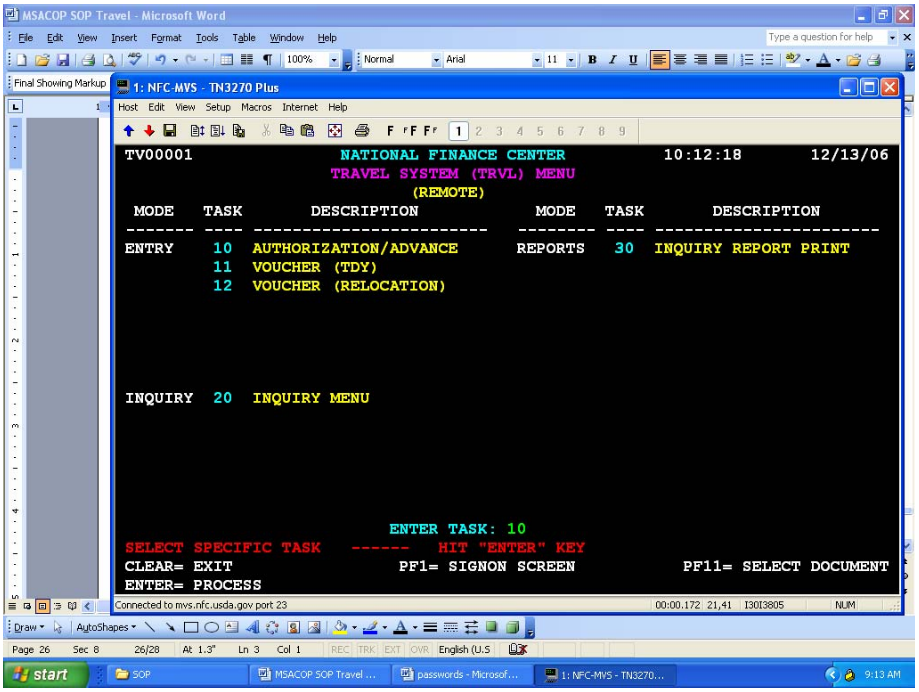


Type your printer identifier and name. Press **PF12.**

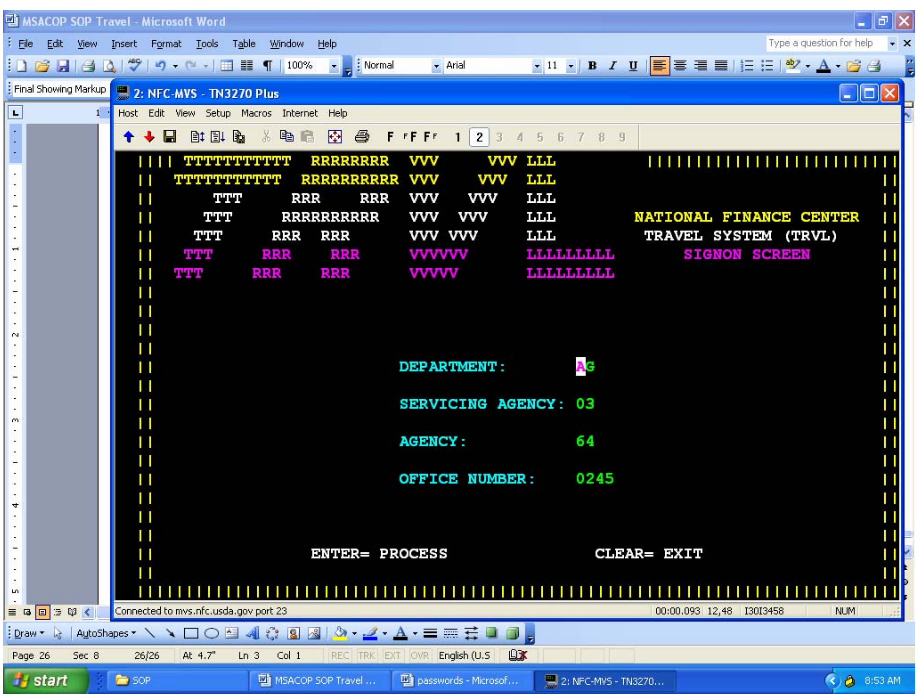
You will return to the screen below. See the message, “Job has been submitted for print” in red near the bottom of the screen.



You may now exit Travel. Press **PF1**. You should see the screen below.

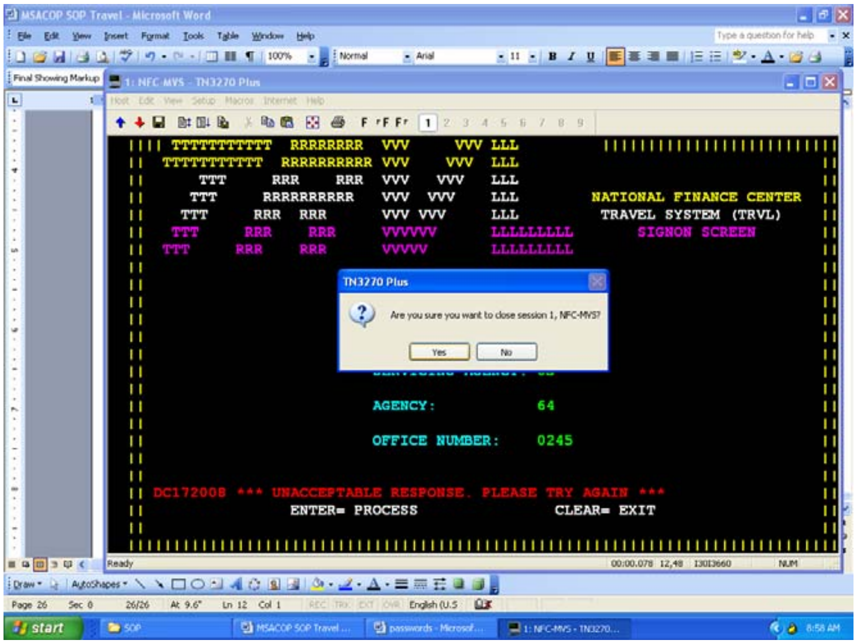


Press **PF1**. You should see the screen below.

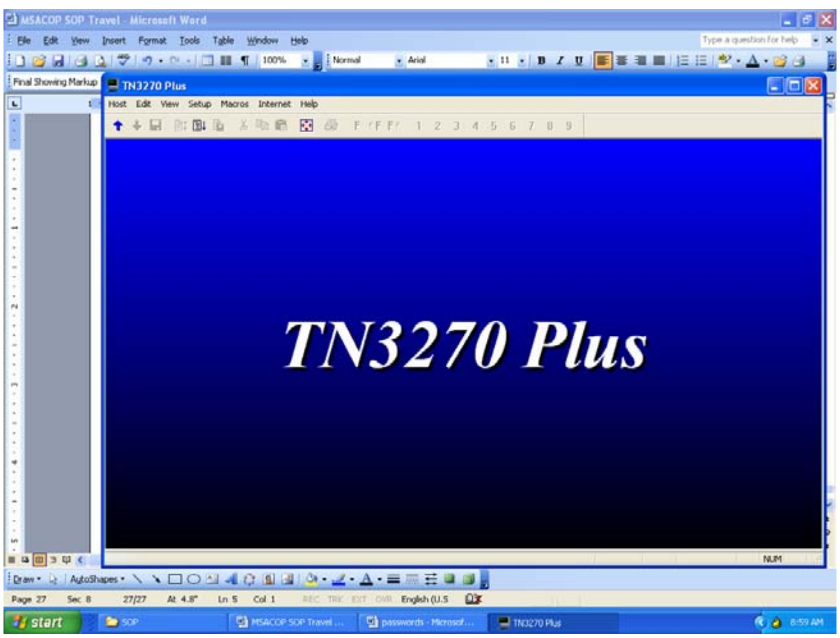


Using the mouse click the “red arrow” in the menu bar to disconnect.

You should see the screen below.



Answer Yes. You should see the screen below.



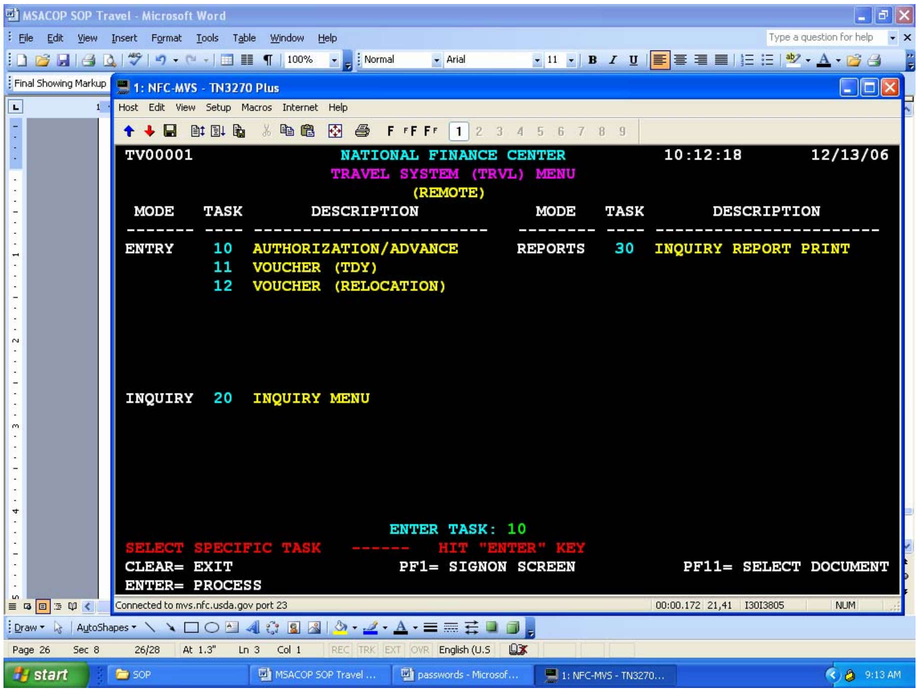
You may click on the X to close.

Be sure to disconnect and exit from VPN.

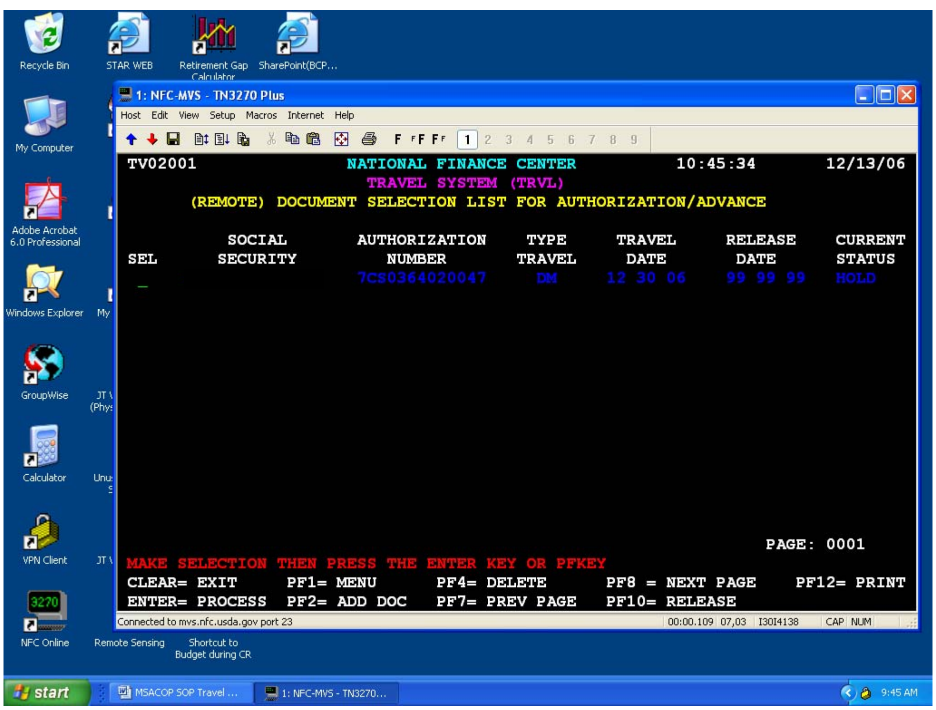
The document will come to your mailbox. Depending upon the activities of NFC this could take up to a day but usually is within the hour.

When you receive the email from NFC, open the pdf and select File > Print. At the print screen be sure the select from the drop down menu at Page Scaling select Fit to Paper, then print. Obtain the approving official signature.

Log back into Travel. At the screen below enter the task.

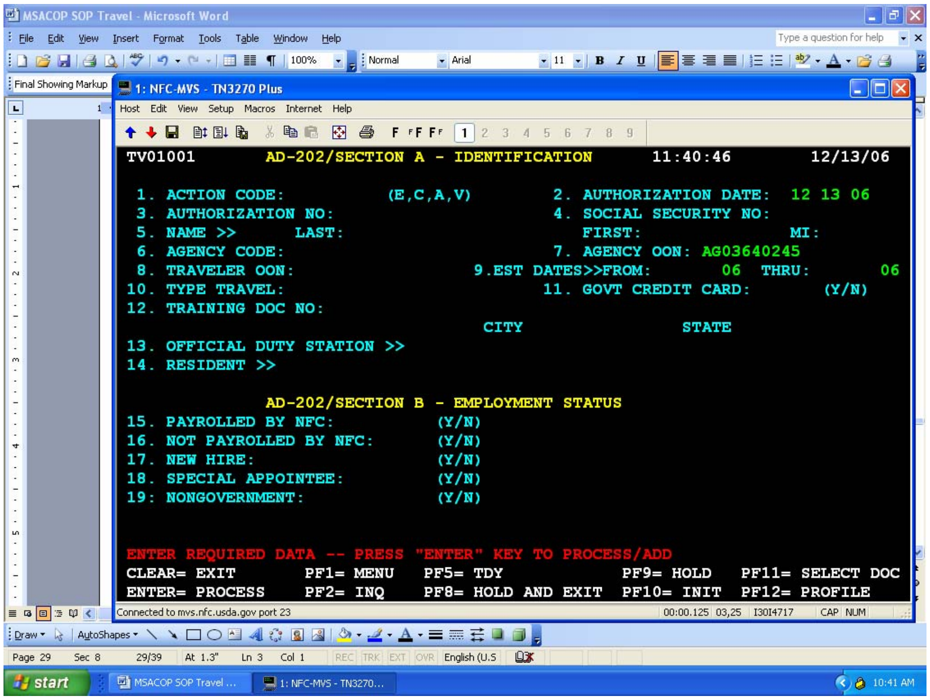


Press **PF11**. You should see the screen below.

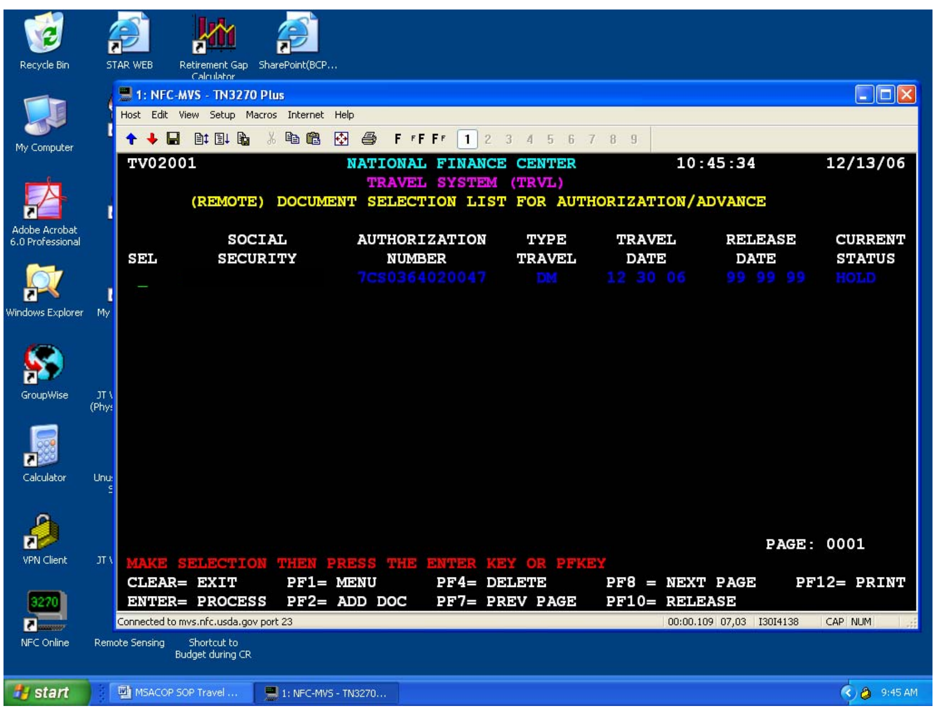


Your authorization will be listed. Type an **S** on the line to the left of the authorization you wish to release, then press **Enter**. Press **Enter** for each page of the authorization.

You should see the screen below.



Press **PF11**. You should see the screen below.

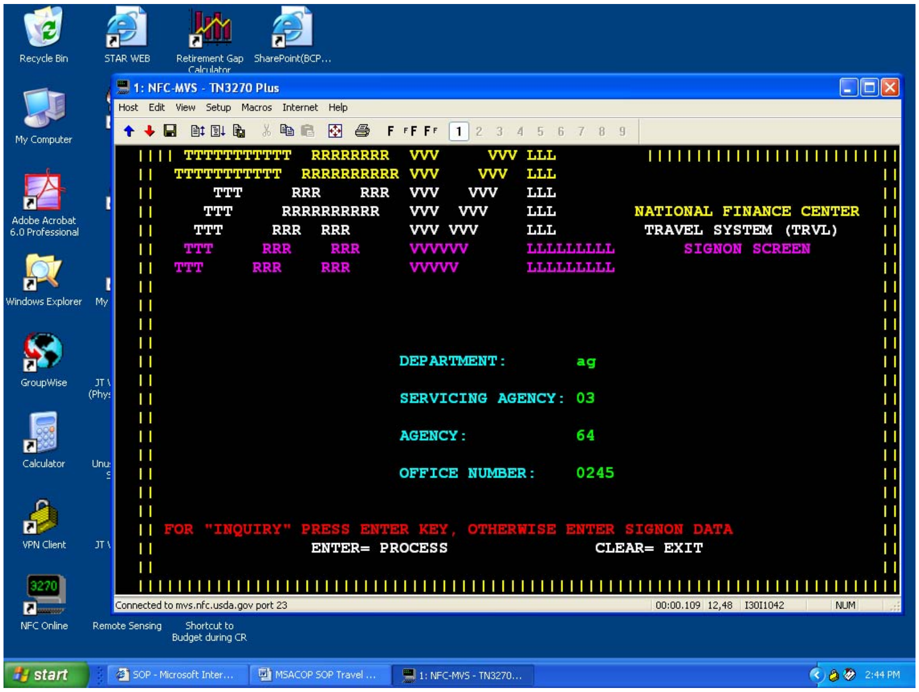


Type **R** to the left of the authorization you wish to release. Press **PF10**. The Current Status should show released, if not, repeat the R and **PF10**.

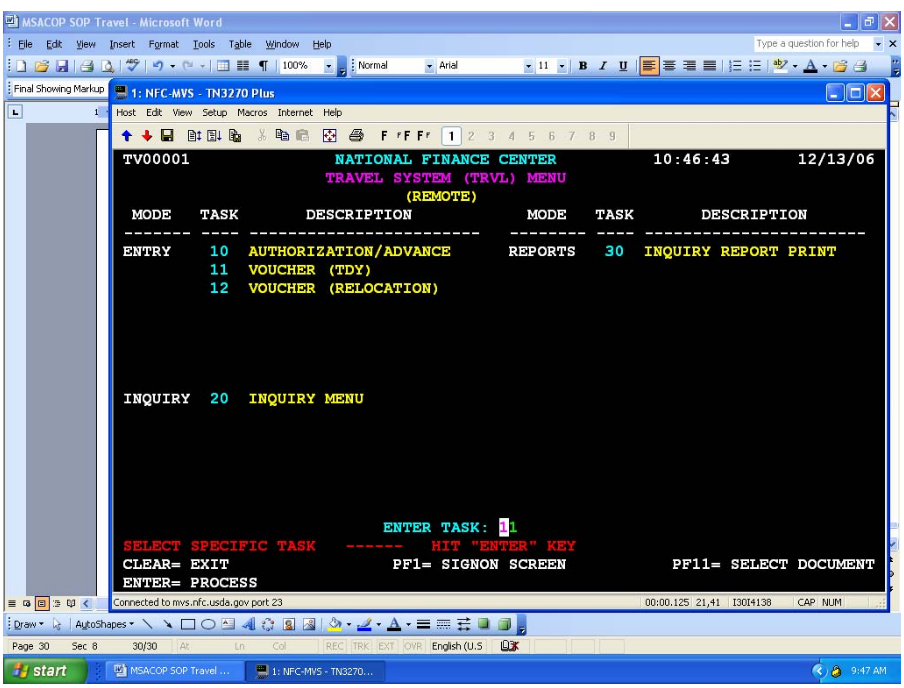
Press **PF1** until you are at the login screen. Click on the “red arrow” to terminate the session. Remember to disconnect and exit VPN.

Instructions for completing an AD-616

Log into Travel. At the screen below enter your OON.

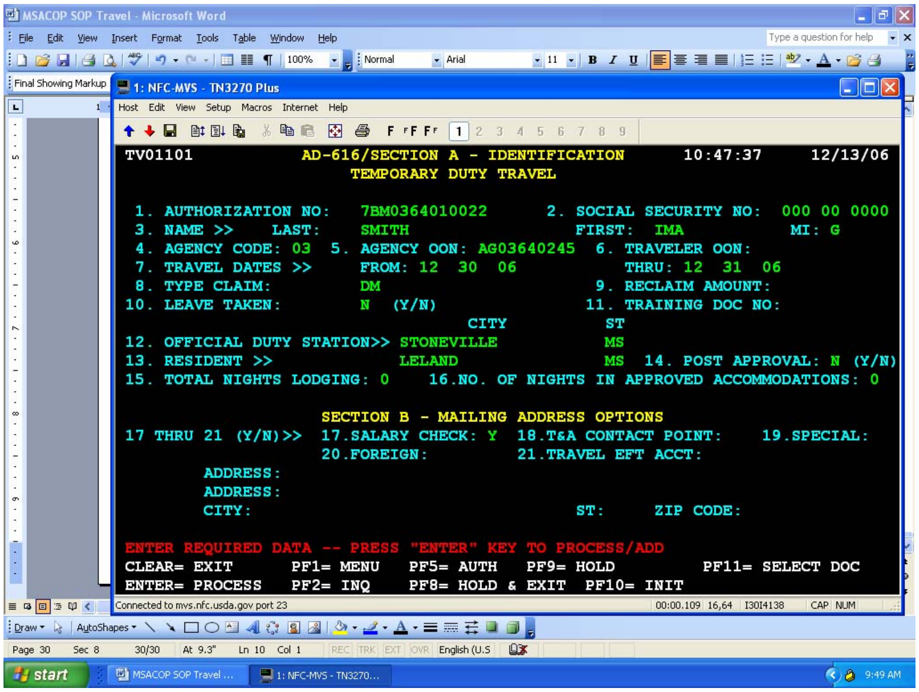


Press **Enter**. You should see the screen below.

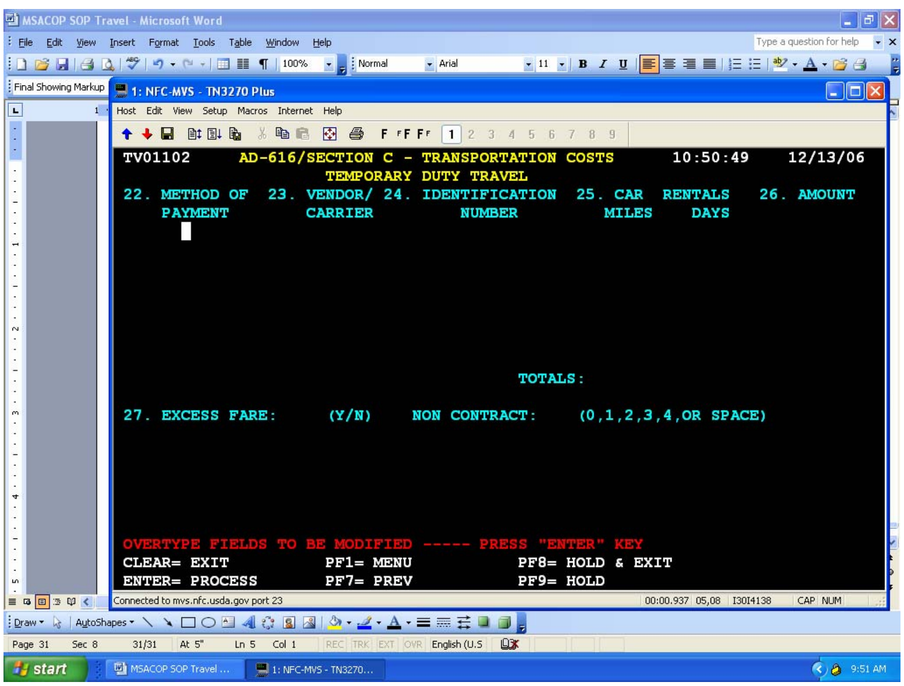


Enter Task: __11____

You should see the screen below.

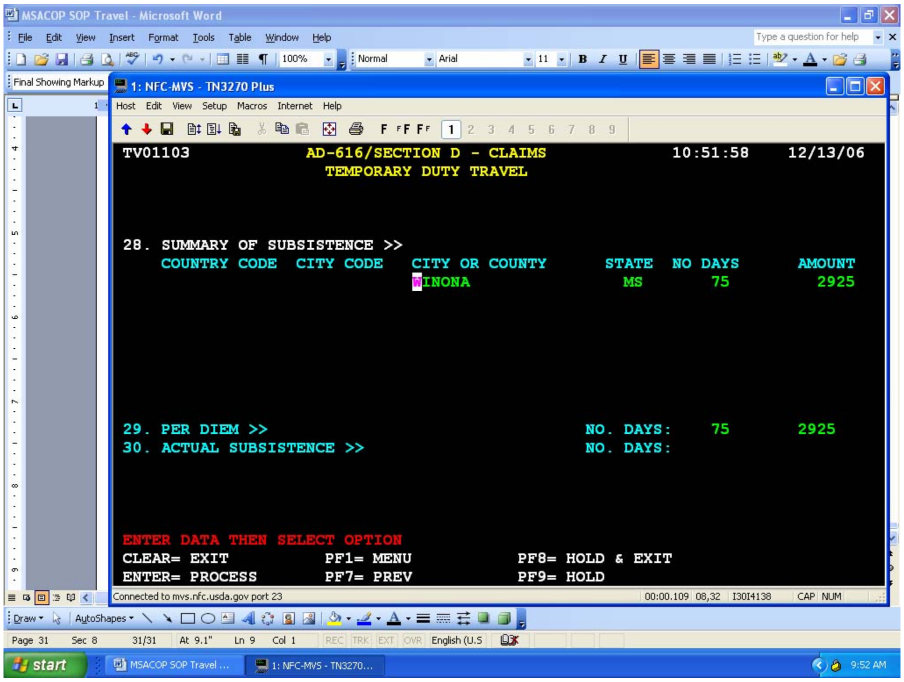


Enter the information and press **Enter**. You should see the screen below.

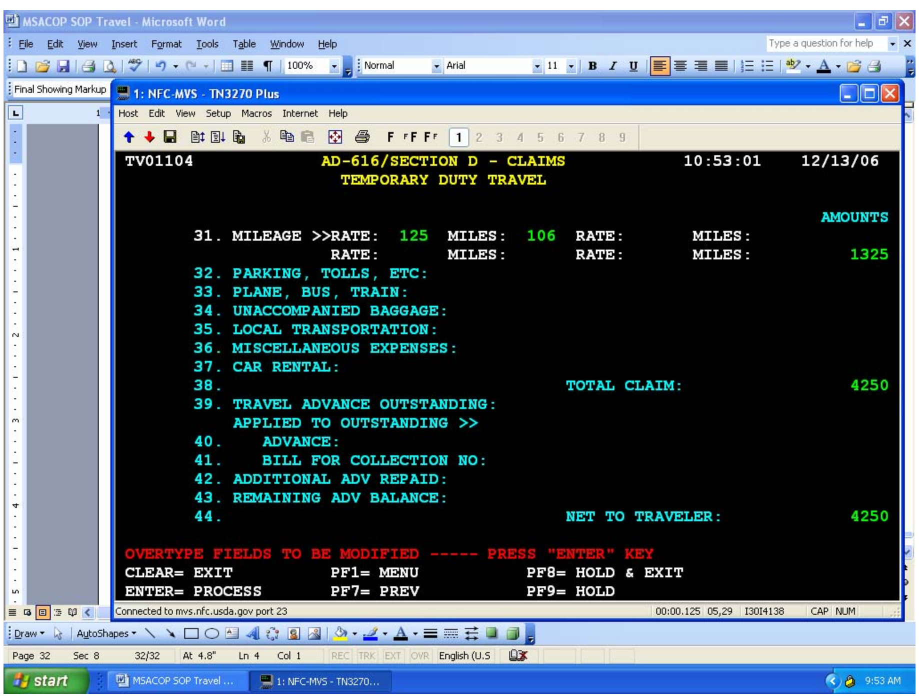


Enter information as necessary for air fare, bus, train, or rental car. Press **Enter**.

You should see the screen below.

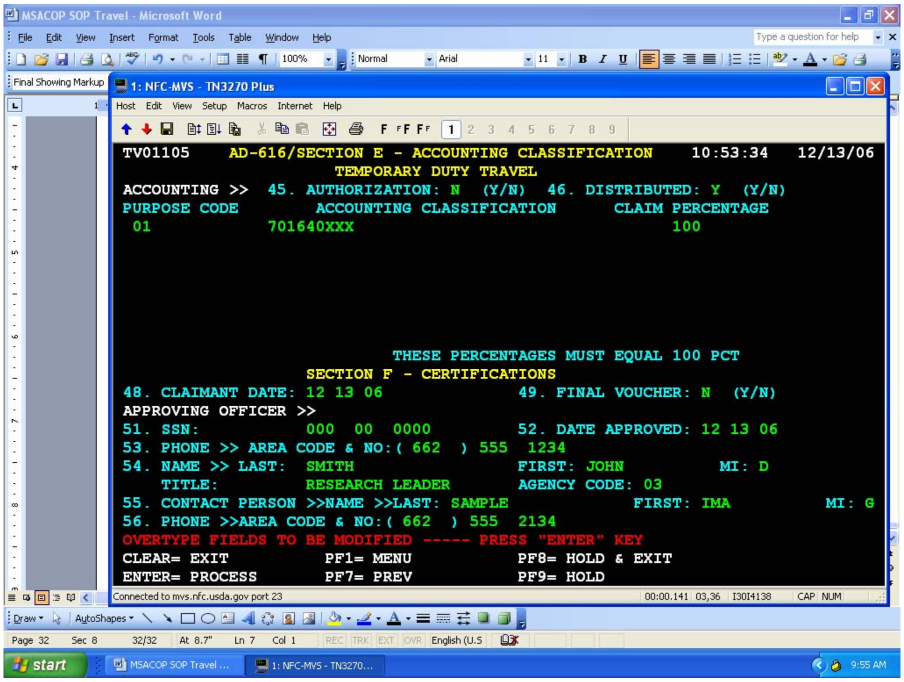


Enter the destination (city, state), number of days without decimals, and dollar amount, without decimals. Enter as per diem or actual subsistence as indicated on the authorization.
Press **Enter**. You should see the screen below.



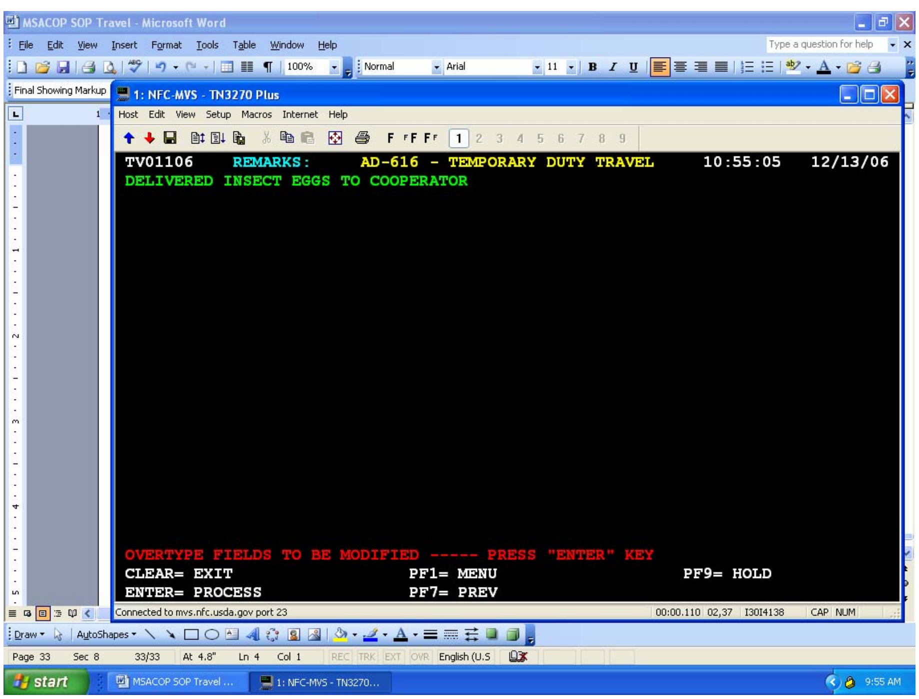
Enter items as claimed based on authorization. All amounts are entered without typing the decimal. Press **Enter**.

You should see the screen below.



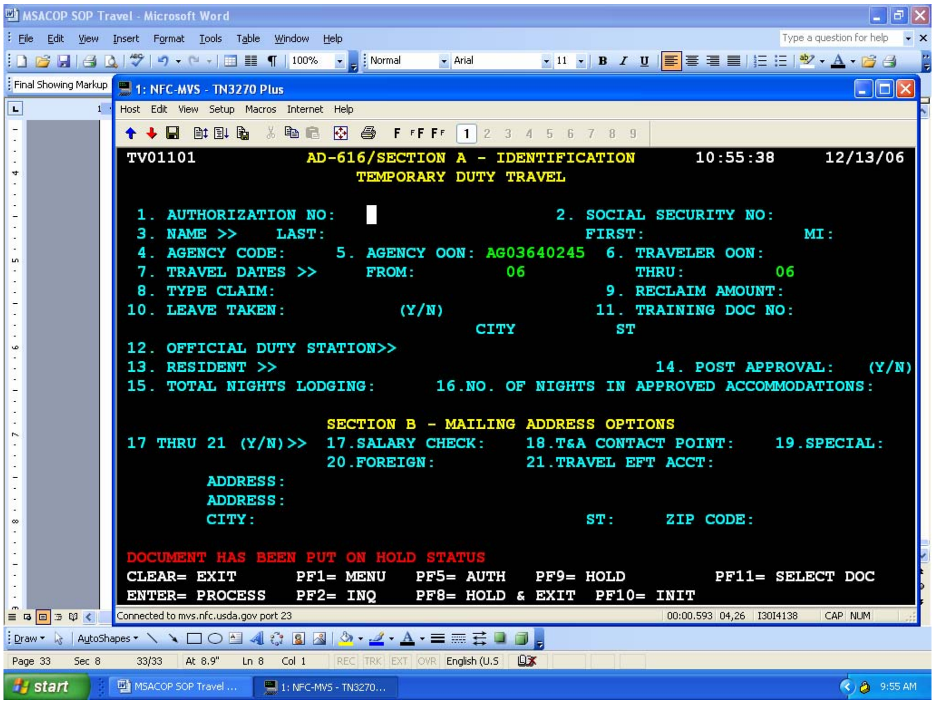
Enter the purpose code, accounting code, and claim percentage. Enter the certification information for the approving officer and the person who is entering the voucher. Press **PF9** to place the voucher on hold until it is signed by both the traveler and the approving officer.

You should see the screen below.

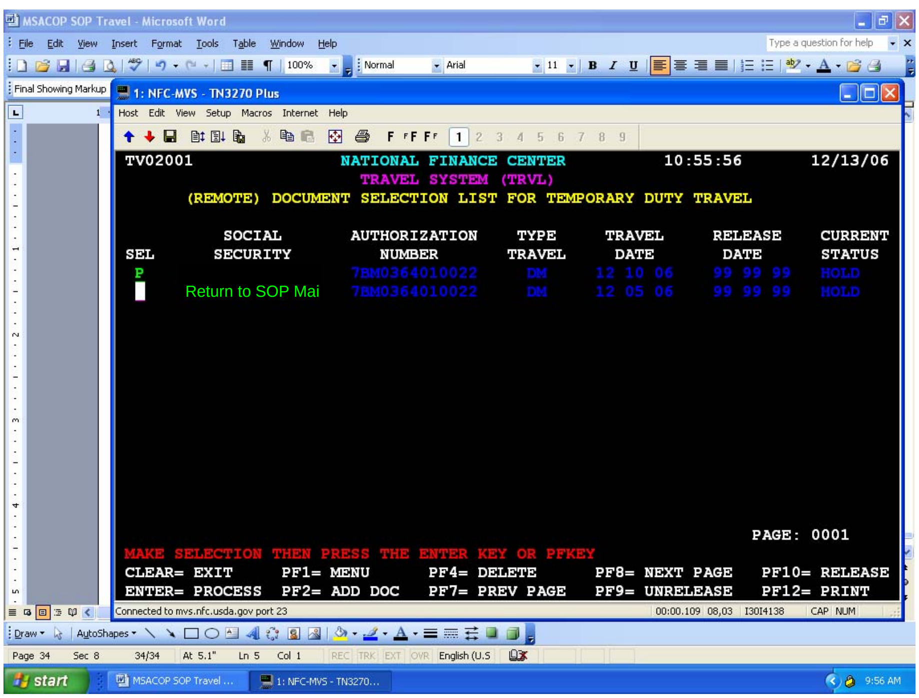


Enter the remarks and press **PF9** again.

You should see the screen below.

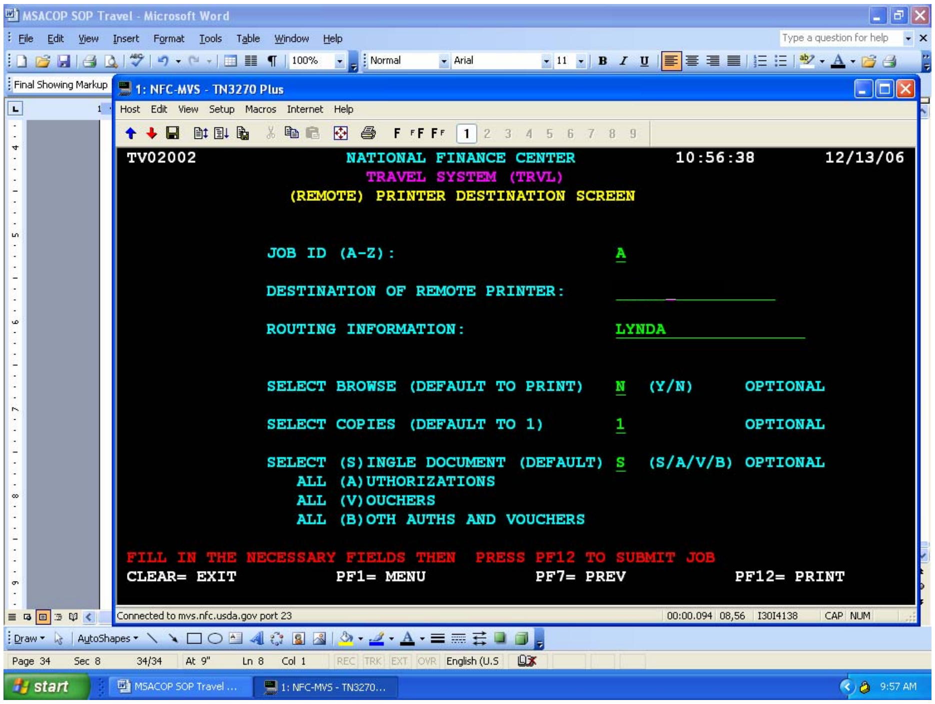


Press **PF11** and you should see the screen below.

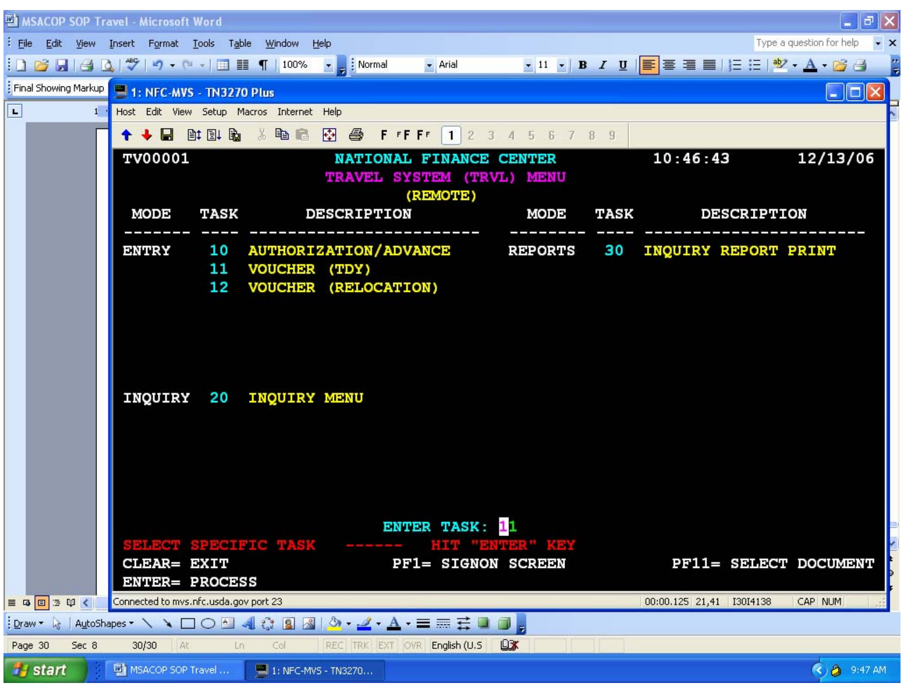


Type a **P** to the left of the voucher you wish to print. Then press **PF12**.

You should see the screen below.

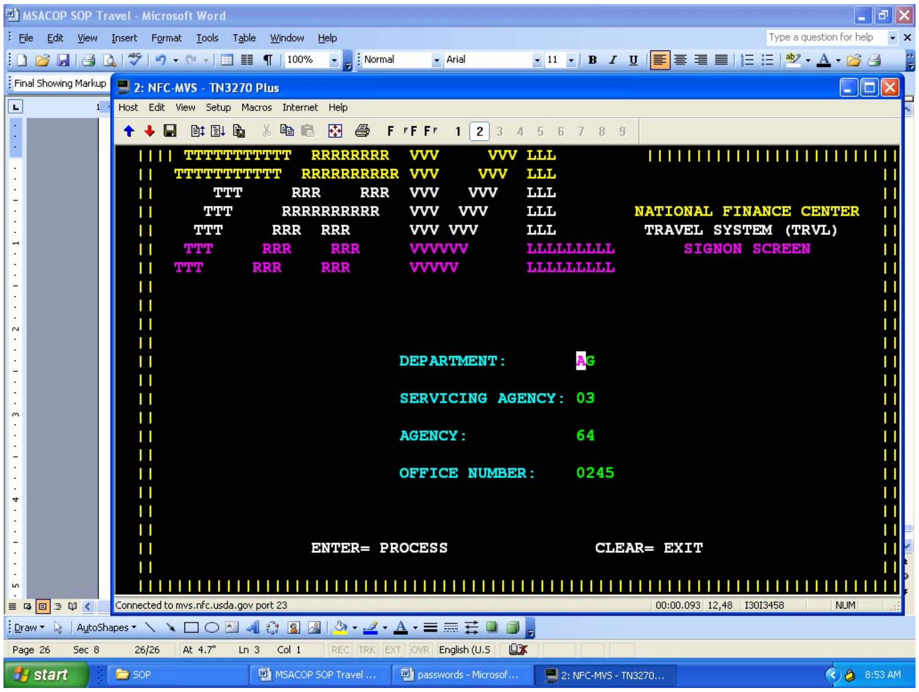


Type the printer identification and routing information. Press **PF12**. You should see the screen below. You may now leave Travel. Press **PF1**. You should see the screen below.



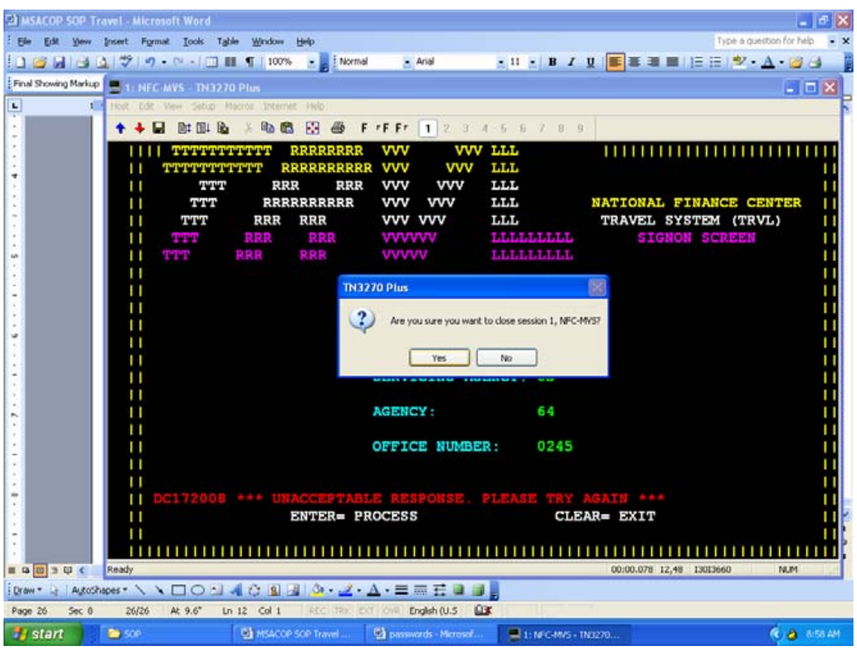
Press **PF1** to scroll back to the login screen.

You should see the screen below.



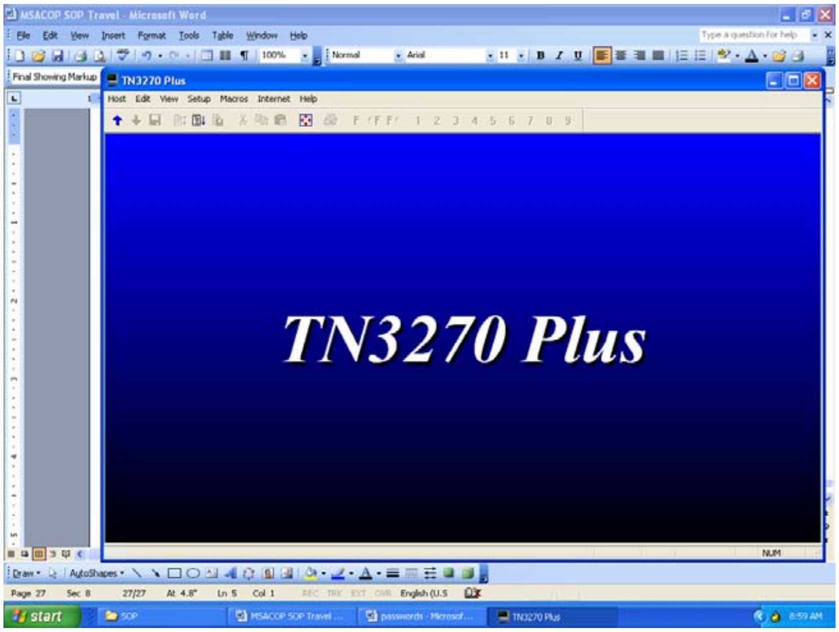
Using the mouse click the “red arrow” in the menu bar to disconnect.

You should see the screen below.



Answer Yes.

You should see the screen below.

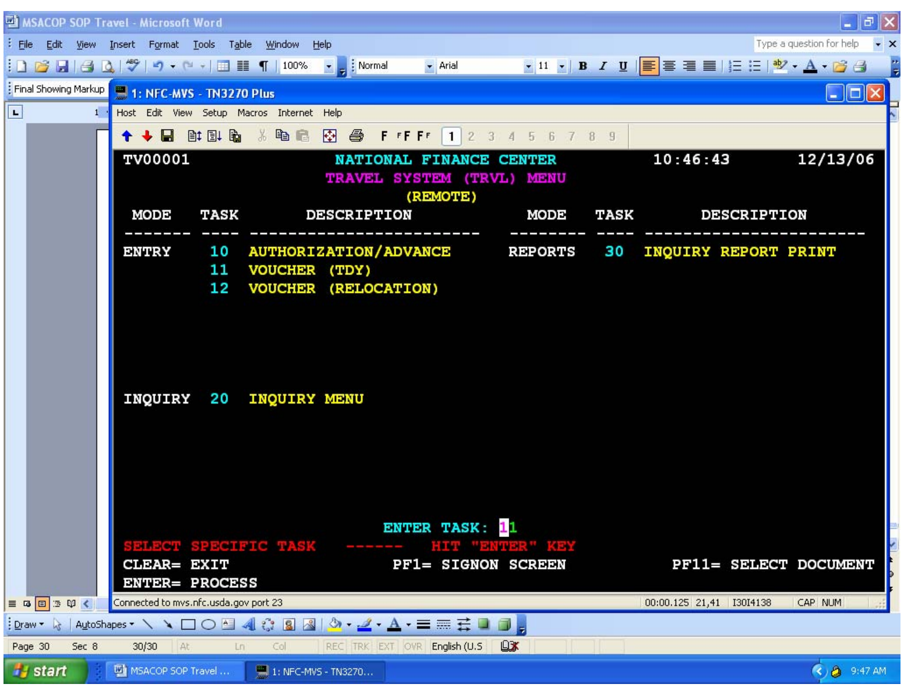


You may click on the **X** to close. Your document will be sent to your email for printing. Remember to disconnect and exit VPN.

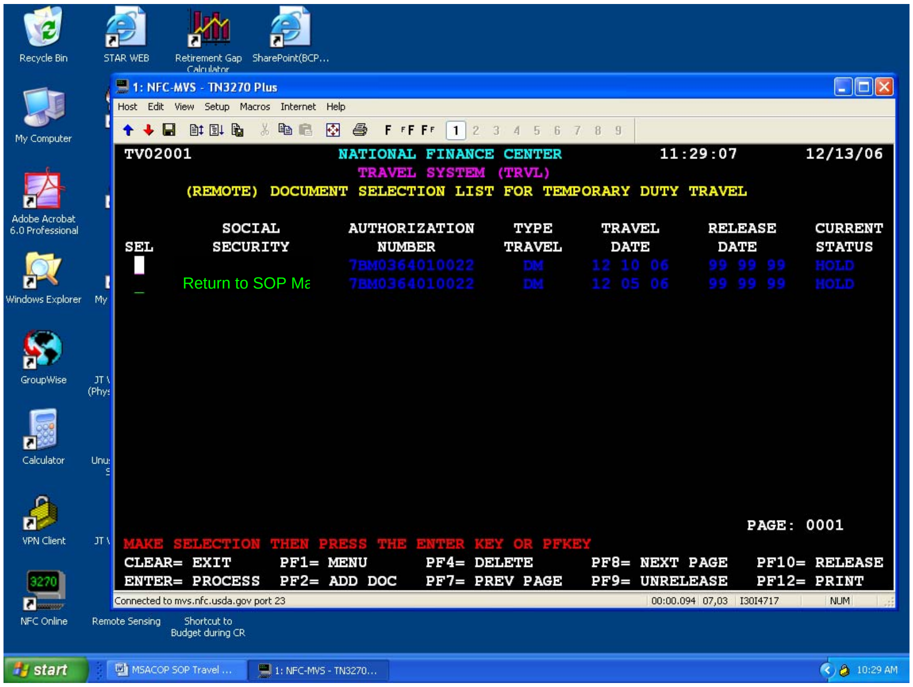
The document will come to your mailbox. Depending upon the activities of NFC this could take up to a day but usually is within the hour.

When you receive the email from NFC, open the pdf and select File > Print. At the print screen be sure the select from the drop down menu at Page Scaling select Fit to Paper, then print. Obtain the approving officer and traveler's signature.

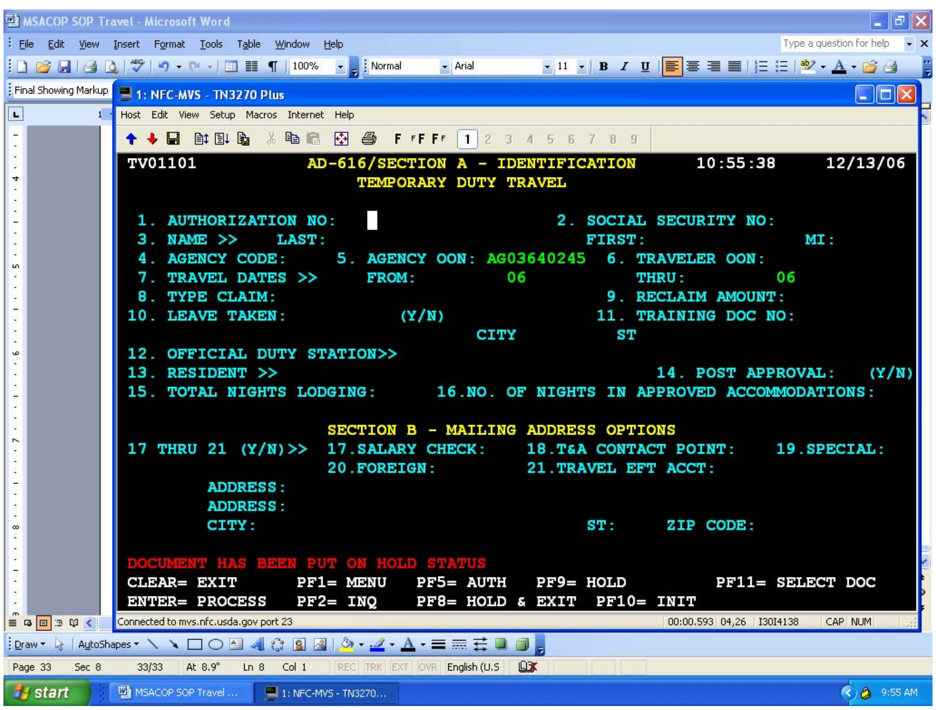
Log into Travel. Enter Task # 11 for Voucher (TDY).



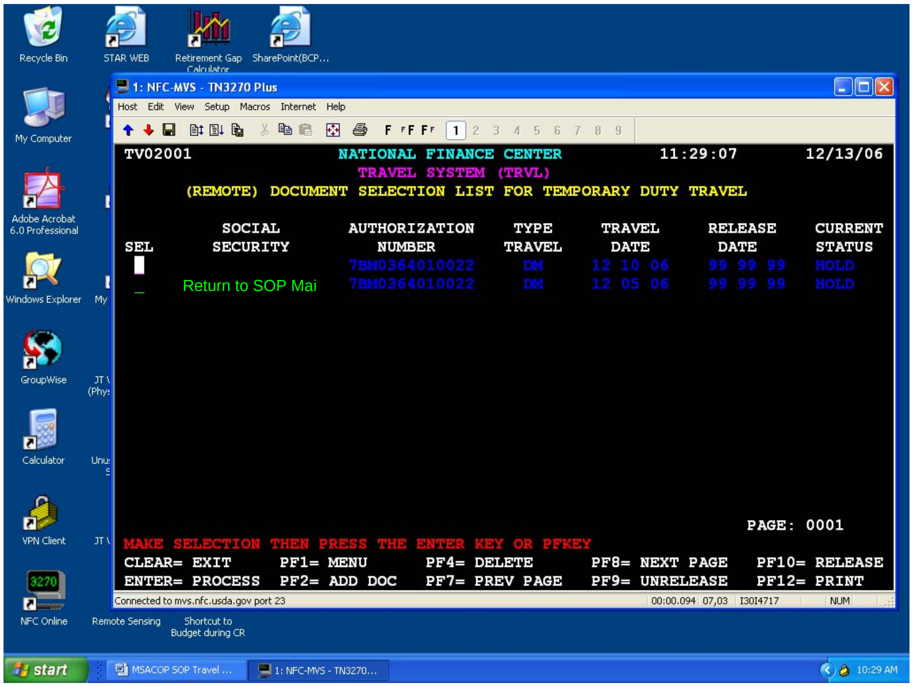
Press **PF11**. You should see the screen below.



Your voucher will be listed. Type an **S** on the line to the left of the voucher you wish to release, then press **Enter**. Go through the voucher and press **Enter** for each page of the voucher. When you press **Enter** at the remarks page of the voucher you should see the screen below.



Press **PF11** and you should see the screen below.



Type **R** to the left of the authorization you wish to release. Press **PF10**. The Current Status should show released, if not, repeat the R and **PF10**. If there is a problem you will see a message near the bottom in red.

Press **PF1** until you are at the login screen. Click on the “red arrow” to terminate the session. Remember to disconnect and exit VPN.

Traveling?

Just The FAQ s, Mam

Q. *How do you know which travel authorizations are to be sent to the Area for their approval and which ones can be approved at the location level?*

A. All foreign travel, all invitational or non-government employee travel, all travel to national and international conferences, and blanket authorizations are to be sent to the Area Office for their approval. They will release the government employee travel and will advise the location when approval for non-government has been approved so the location can release the authorization. If the Area releases the non-government authorization, then the travel voucher must be processed through the Area Office. Also, once a travel authorization has been released, it cannot be unreleased.

All site visits, and informational meetings can be approved at the location levels.

Q. *Can I use the government issued travel card to purchase other, personal things besides meals, lodging and airline/train tickets when I am on official travel? The card is issued to me, and I am responsible for paying the bill.*

A. No! Even though the bill is sent you to for payment, this would be considered misuse of the government issued travel card. If you misuse the travel card by purchasing personal items, then you could lose the card, its privileges and face legal issues.

Q. *Can I use the government issued travel card to pay for the conference registration fees?*

A. No. The policy has changed to where the traveler must pay for his/her conference fees by using the purchase card.

Q. *If I am on official travel and the meeting I am attending charges a registration fee but does not take credit cards, how can I pay the fees?*

A. You will need to pay the fees with a personal check or cash.

Q. *If I pay for the fees by personal check or credit card, then would I file for reimbursement on my travel voucher?*

A. No. You can be reimbursed for this expense but you will have to file an SF1164, "Claim for Reimbursement for Expenditure on Official Business."

INTERNATIONAL TRAVEL FAQS:

Q. *Can international calling cards can be purchased for foreign travel? Should they be allowed, then how are they purchased and what are the regulations?*

A. Under the FTS2001 contract, employees may receive calling cards if requested by their supervisor. The only charge is the cost of whatever calls are made. Send an email to Maureen Harris (Maureen.Harris@ARS.USDA.GOV with the names of the individuals and the type of access needed (ie, international/ domestic/world-wide [which includes high fraud countries such as China]) and she will place the order.

Q. *Are the money exchange fees considered part of the per diem under "incidentals" when on foreign travel or is the traveler to claim these fees under miscellaneous expenses separately?*

A. No, these fees are not part of the I.E. of the per diem. You will need to file these fees under miscellaneous expense.

Procedures for handling Invitational Travel:

1. All Travel Arrangers must have a profile in NFC's FFIS and TRVL systems for verification and security purpose before you can make arrangements of another traveler.
   - Complete the Name Supplement File Form and fax to NFC at 504-426-8864 and to Linda Robinson, Area Admin Office, at 662-686-5373.

2. Travel Arranger must complete the ARSPro1.xls spreadsheet and e-mail to Cack Norquist at Mid South Area office.
   - Each traveler must have an authorization number

3. Once form is received, the Travel Arranger will receive a notice from Cack with the travelers Member ID.

4. Once the Travel Arranger receives the confirmation she/he will call EDS Call Center at 866-876-8020 to make the travel arrangements.
   - Notify the representative that this ticket will be charges on the **GVTS** account
   - Give Traveler Information
   - Traveler Authorization Number
   - Accounting Code
   - Purpose Code

5. The Travel Arranger and traveler will receive e-mails for travel reservations that were requested.

6. Tickets will be issued 3 days in advance of travel unless advise otherwise.

Travel Voucher Check List

See NFC Procedures Manual Title VI, System Access Manual; Chapter 6, Travel and Transportation; Section 2, Personal Computer Travel System (PC-TRVL) for specific instructions on how to complete the travel voucher. Much of the information is similar to the AD-202. The information below is meant to be a reminder of items to verify while completing the voucher.

- ☐ If the traveler was in travel status for less than 12 hours, no per diem can be claimed.
- ☐ Verify that the travel was within the dates specified on the AD-202 and that the receipts for lodging were for the locations shown on the AD-202. The AD-202 will need to be amended before doing the voucher if travel dates vary from the original AD-202, or the hotel receipts are for towns other than those listed on the AD-202. Be sure that all expenses being paid on the voucher were authorized on the AD-202.
- ☐ If purpose code 03 for training was used on the AD-202, include the Training Document Number from the SF-182 in BLOCK 10.
- ☐ If the traveler used a personal credit card or cash to pay for air transportation or car rental, the traveler may only claim $100 or less.
- ☐ Traveler must have a receipt for every expense claimed over $75. Receipts are required for all lodging and common carrier expenditures.
- ☐ If personal telephone calls are claimed on the voucher, include the statement: "This is to certify that personal calls made during official travel comply with the requirements of DR 2300-3."
- ☐ If the voucher deviates from approved official travel itinerary, reconstruction must be shown. Be sure to pay only according to the constructed travel, and the following statement should be in the "Remarks" section: "Deviation from official travel was for personal reasons and no extra expense to the government is claimed. "
- ☐ Check if the traveler has an outstanding travel advance that needs to be applied to the voucher.
- ☐ Verify that the correct accounting code is being used, especially at fiscal year end.
- ☐ If meals were provided at no cost to the traveler, be sure to make appropriate deductions from the M&IE amounts.

M&IE BREAKDOWN – rev. October 1, 2005

	$ 39.00	$ 44.00	$ 49.00	$ 54.00	$ 59.00	$ 64.00
Breakfast	$ 7.00	$ 8.00	$ 9.00	$ 10.00	$ 11.00	$ 12.00
Lunch	$ 11.00	$ 12.00	$ 13.00	$ 15.00	$ 16.00	$ 18.00
Dinner	$ 18.00	$ 21.00	$ 24.00	$ 26.00	$ 29.00	$ 31.00
Incidentals	$ 3.00	$ 3.00	$ 3.00	$ 3.00	$ 3.00	$ 3.00
Flat 3/4	$ 29.25	$ 33.00	$ 36.75	$ 40.50	$ 44.25	$ 48.00

PASSPORT AND VISA REQUIREMENTS

It is REE policy to:

- Require travelers to promptly furnish, information needed to apply for visas in sufficient time to obtain them without special handling. Visas are obtained by the Foreign Agricultural Service (FAS), 'Foreign Travel Unit (FTU), directly from the foreign Embassy.

- Obtain interdepartmental approval in sufficient time to avoid the necessity for special handling of requests for security clearances, passport forms, and approval for attendance at meetings.

- Notify FAS of the proposed itinerary of each employee planning foreign travel. When necessary, the travelers may need to contact the Agricultural Attache/Counselor.

- Require travelers to consult the nearest American Embassy or Consulate about the need for visas before changing itineraries, once arriving abroad. Travelers will notify the Agricultural Attache of changes in itineraries, once abroad.

- Require employees, who are U.S. citizens traveling to a foreign country on official business for USDA, to obtain official passports and, when required, official visas, before departing from the United States. Tourist cards and visas, and personal passports may not be used for official travel.

  EXCEPTION: Taiwan is the only country where personal passports will be used because the United States does not have diplomatic relations with Taiwan.

- Release passports only after country clearance is received.

Responsibilities

The **Foreign Travel Coordinators within REE** are responsible for:

- Assuring compliance with foreign travel document processing time schedules, procedures, and other requirements.
- Notifying the FTU of any changes in employment status that would affect the necessity for maintaining passports, i.e., retirement, transfer to another agency, etc.
- Making changes to the Passport Tracking Record, as they occur.

Visa Requirements Guide

The Country Requirements Table in FTIS alphabetically lists each country and the visa documentation required by Embassies for issuance of official visas where required. The Country Requirements Table is in the Reference Tables Section of FTIS and is available to all users. This Table is updated by TRSB when changes occur.

Time Schedules for Obtaining Passports and Visas

When planning foreign travel, allow sufficient time to obtain the official passport and visas.

- For New passports. An AD-121, Passport Request, (Exhibit 1) must be received by the Agency Foreign Travel Coordinator or TRSB:
- 75 calendar days before departure for field employees outside the Washington, D.C. area.
- Lost or Stolen passports. Complete a DSP-64 (Exhibit 2) and attach to the AD-121.
- Revalidated passports. An AD-121 (Exhibit 1) must be received by TRSB 60 calendar days before departure for all employees.
- Visas and Country Clearance(s). All foreign countries require 30 calendar days for routine processing.

  NOTE: The FTU WILL NOT obtain passports or visas in less than the .established number of days to process pertinent documents without a strong justification explaining the circumstances. Late justification for issuance must be in letter form from FAS addressed to the U.S,. Department of State Passport Office and signed by FAS. These letters are to be prepare by the Area Transportation Assistants.

Procedures for Obtaining New Passports

If an employee has neither a personal nor an official passport issued within the last 12 years, a DSP-11, Passport Application, (Exhibit 3) must be used to apply in person for an official passport to a Passport Agent (i.e., FAS, Post Office) .

The following documentation is required:

- AD-121, Passport Request
- A completed, but unsigned, DSP-11.
- NOTE: **The DSP-ll must be signed by the traveler in the presence of a Passport Agent**. No fee is charged to Federal employees when approved AD-121 is submitted with application. Address must read "WILL CALL AGRICULTURE."
- Proof of U.S. citizenship; i.e., certified copy of birth certificate, Certificate of Naturalization, Certification of Citizenship, or a Report of Birth Abroad.
- Proof of identity containing signature and physical description or photograph, e.g., driver's license.
- Two passport-size photographs

Procedures for Issuance of Passports with Official and/or Personal Passports Valid Within the Last 12 Years

If the official passport has expired or will expire prior to completion of the planned foreign travel or the employee has a personal U.S. passport issued in the employee's name in the last 12 years, the employee must apply for issuance of an official passport using a DSP-82, Passport Application by Mail, (Exhibit 4) and follow the instructions below.

- Send official or personal passport to the ATA with the following:
- AD-121, Passport Request
- Two passport-size photographs
- A completed and signed DSP-82.

NOTE: Passport must be the latest one issued and issued within the last 12 years.

Exhibit 1: Passport/Visa Request

U.S. Department of Agriculture Foreign Agricultural Service **Passport/Visa Request**	**Deliver To:** **International Travel Section** **Stop 1063, Room 1069 S. Bldg.**

Part A - General Information

1. Date	2. Date of Departure from U.S.A.	5. Action Requested ☐ Issue Official Passport ☐ Visa*(s)* ☐ Issue Diplomatic Passport 1/ ☐ AMENDMENT ☐ Re-validation of Passport
3. Date of Return to U.S.A.	4. Requested Pick Up Date	

Part B - Employee Information

6. Name of Traveler *(Last Name, First Name, Middle initial)*	7. Date of Birth	8. Place of Birth *(City and State)*

9. Title of Traveler	10. Grade	11. Social Security No. *(Required)*

12. Agency Name	13. Agency Code	14. Region Code
Agricultural Research Service, Mid South Area,		A6400

Part C - Kind of Overseas Trip

☒ 15. TDY ☐ 16. Assignment - *Replacement for:* ____________ ☐ 17. Assignment - New Position

18. Countries Visited *(not cities)*	19. Date(s) Visited	20. Transit Visa (Y/N)	21. Purpose of Trip *(for each country visited)*

Part D - Dependents to Accompany Traveler on Overseas Assignment

22. Name	23. Relationship	24. Place of Birth *(City and State or County)*	25. Date of Birth *(Month, Day, Year)*

Part E - Remarks

REQUESTING AGENCY USE ONLY	26. Priority *(Select one)* A ☐ B ☐ C ☐	27. Travel Coordinator	28. Date Submitted

29. The supporting documents check all that apply

☐ Passport ☐ DSP82 ☐ Photos ☐ Invitation ☐ VISA Form ☐ Other

30. Date Received by ITS

31. Passport Action Requested by: *Foreign Agricultural Service* *Chief, International Services*	32. Signature

1/ Justify in Remarks Section

Form AD-121 Rev. (01-04-99

Exhibit 2: DSP-64, Statement Regarding Lost or Stolen Passport

UNITED STATES DEPARTMENT OF STATE

STATEMENT REGARDING LOST OR STOLEN PASSPORT

INSTRUCTIONS A United States citizen may bear only one valid or potentially valid passport at a time, except as otherwise authorized by the Department of State. It therefore is necessary to submit a statement with an application for a new passport when a previous valid or potentially valid passport cannot be presented. This statement must be set forth in detail why the previous passport cannot be presented.

TYPE OR PRINT IN INK IN WHITE AREAS ONLY

IDENTIFYING INFORMATION

NAME FIRST NAME MIDDLE NAME

LAST NAME

PASSPORT NUMBER

ISSUE DATE Month Day Year

PLACE OF ISSUE

SEX Male Female

PLACE OF BIRTH City, State or Province, Country

DATE OF BIRTH Month Day Year

DOCUMENT CODE L (For Official Use Only)

ADDRESS (Street, City, State, ZIP Code)

LOST/STOLEN PASSPORT INFORMATION

HOW WAS PASSPORT LOST OR STOLEN?

WHEN WAS LOSS DISCOVERED?

WHERE DID LOSS TAKE PLACE?

IF STOLEN, WERE POLICE AUTHORITIES NOTIFIED? Yes No IF YES, STATE WHERE AND WHEN

WHAT EFFORTS HAVE YOU MADE TO RECOVER THE PASSPORT?

HAVE YOU HAD PREVIOUS PASSPORTS LOST OR STOLEN? Yes No IF YES, GIVE DATE AND PARTICULARS, INCLUDING NUMBER OF PASSPORTS LOST OR STOLEN.

WARNING False statements made knowingly and willfully in passport applications or in affidavits or other documents submitted with passport applications are punishable by fine and/or imprisonment (18 U.S.C. 1001 and 1542). Passports reported lost or stolen are entered into lookout systems and will be considered invalid at ports of entry. Use of a lost or stolen passport could result in prosecution for the misuse of a United States passport (18 U.S.C 1544).

PRIVACY ACT STATEMENT

AUTHORITIES: The information solicited on this form is requested pursuant to provisions in Titles 8, 18, and 22, United States Code, whether or not codified, including specifically 22 U.S.C. 211a, 213, and 18 U.S.C. 1542 and all regulations issued pursuant to Executive Order 11295 (August 5, 1966), including 22 CFR Part 51, specifically (but not limited to) 22 C.F.R. 51.8.

PURPOSE: The primary purpose for soliciting the information is to establish entitlement to the passport amendment or validation requested. The information may also be used in connection with issuing other travel documents or evidence of citizenship, and in furtherance of the Secretary's responsibility for the protection of U.S. nationals abroad.

ROUTINE USES: The information is made available as a routine use on a need–to–know basis to personnel of the Department of State. The principal users of this information are offices within the Bureau of Consular Affairs. Information may also be provided to other government agencies having statutory or other lawful authority to gain access to such information in the performance of their official duties; pursuant to a court order; and as set forth in Part 171, Title 22 C.F.R.

The submission of this form is mandatory in order to obtain a U.S. passport where a previously issued U.S. passport cannot be presented. Individuals who fail to submit this form or who do not provide all the requested information may be denied a passport, related document, or service.

CERTIFICATION I, the undersigned, certify that the information furnished herein is correct and complete to the best of my knowledge and belief, and that I have not given my passport to another person or disposed of it in an unauthorized manner. If I subsequently find or recover it, I will immediately return it to Passport Services (Attention: Correspondence Branch), Department of State, Washington, D.C. 20522–1705 or to the nearest Passport Agency.

X

Date Signature

FORM DSP–64 (9–94)

OMB No. 1405–0014 (Exp. 11–30–97) Estimated Burden – 5 Minute

Exhibit 3: DSP-11, Application for Passport

UNITED STATES DEPARTMENT OF STATE

APPLICATION FOR ☐ PASSPORT ☐ REGISTRATION

SEE INSTRUCTIONS—TYPE OR PRINT IN INK IN WHITE AREAS

1. NAME FIRST NAME MIDDLE NAME

LAST NAME

2. MAILING ADDRESS

STREET

CITY, STATE, ZIP CODE

COUNTRY IN CARE OF

☐ 5 Yr. ☐ 10 Yr. Issue Date ______

R D O DP

End. #______ Exp. ______

3. SEX Male Female

4. PLACE OF BIRTH City, State or Province, Country

5. DATE OF BIRTH Mo. Day Year

6. SEE FEDERAL TAX LAW NOTICE ON REVERSE SIDE SOCIAL SECURITY NUMBER

7. HEIGHT Feet Inches

8. COLOR OF HAIR

9. COLOR OF EYES

10. (Area Code) HOME PHONE

11. (Area Code) BUSINESS PHONE

12. PERMANENT ADDRESS (Street, City, State, ZIP Code)

13. OCCUPATION

FOLD

14. FATHER'S NAME BIRTHPLACE BIRTH DATE U.S. CITIZEN ☐ YES ☐ NO

15. MOTHER'S MAIDEN NAME BIRTHPLACE BIRTH DATE U.S. CITIZEN ☐ YES ☐ NO

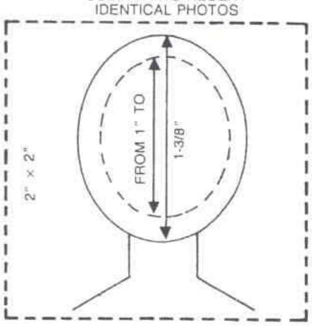
16. TRAVEL PLANS *(Not Mandatory)* COUNTRIES DEPARTURE DATE LENGTH OF STAY

17. HAVE YOU EVER BEEN ISSUED A U.S. PASSPORT? YES ☐ NO ☐ IF YES, SUBMIT PASSPORT IF AVAILABLE. ☐ Submitted

IF UNABLE TO SUBMIT MOST RECENT PASSPORT, STATE ITS DISPOSITION: COMPLETE NEXT LINE

NAME IN WHICH ISSUED PASSPORT NUMBER ISSUE DATE (Mo., Day, Yr.) DISPOSITION

SUBMIT TWO RECENT IDENTICAL PHOTOS



18. HAVE YOU EVER BEEN MARRIED? ☐ YES ☐ NO DATE OF MOST RECENT MARRIAGE Mo. Day Year

WIDOWED/DIVORCED? ☐ YES ☐ NO IF YES, GIVE DATE Mo. Day Year

SPOUSE'S FULL BIRTH NAME SPOUSE'S BIRTHPLACE

19. IN CASE OF EMERGENCY, NOTIFY *(Person Not Traveling With You)* *(Not Mandatory)* RELATIONSHIP

FULL NAME

ADDRESS (Area Code) PHONE NUMBER

20. TO BE COMPLETED BY AN APPLICANT WHO BECAME A CITIZEN THROUGH NATURALIZATION

I IMMIGRATED TO THE U.S. (Month, Year) I RESIDED CONTINUOUSLY IN THE U.S. From (Mo., Yr.) To (Mo., Yr.) DATE NATURALIZED (Mo., Day, Yr.)

PLACE

FOLD

21. DO NOT SIGN APPLICATION UNTIL REQUESTED TO DO SO BY PERSON ADMINISTERING OATH

I have not, since acquiring United States citizenship, performed any of the acts listed under "Acts or Conditions" on the reverse of this application form (unless explanatory statement is attached). I solemnly swear (or affirm) that the statements made on this application are true and the photograph attached is a true likeness of me.

Subscribed and sworn to (affirmed) before me

Month Day Year

(SEAL)

X

☐ Clerk of Court or
☐ PASSPORT Agent
☐ Postal Employee
☐ (Vice) Consul USA At ______

(Signature of person authorized to accept application)

(Sign in presence of person authorized to accept application)

22. APPLICANT'S IDENTIFYING DOCUMENTS ☐ PASSPORT ☐ DRIVER'S LICENSE ☐ OTHER (Specify)

ISSUE DATE Month Day Year EXPIRATION DATE Month Day Year

PLACE OF ISSUE

No.

ISSUED IN THE NAME OF

23. FOR ISSUING OFFICE USE ONLY (Applicant's evidence of citizenship)

☐ Birth Cert. SR CR City Filed/Issued:
☐ Passport Bearer's Name:
☐ Report of Birth
☐ Naturalization/Citizenship Cert. No.:
☐ Other:
☐ Seen & Returned
☐ Attached

APPLICATION APPROVAL

Examiner Name

Office, Date

24.

FEE ______ EXEC. ______ POST ______

FORM DSP-11 (12-87) (SEE INSTRUCTIONS ON REVERSE) Form Approved OMB No. 1405-0004 (Exp. 8/1/89)

PASSPORT APPLICATION

FEDERAL TAX LAW:

Section 6039E of the Internal Revenue Code of 1986 requires a passport applicant to provide his/her name (#1), mailing address (#2), date of birth (#5), and social security number (#6). If you have not been issued a social security number, enter zeroes in box #6. Passport Services will provide this information to the Internal Revenue Service routinely. Any applicant who fails to provide the required information is subject to a $500 penalty enforced by the IRS. All questions on this matter should be referred to the nearest IRS office.

ACTS OR CONDITIONS

(If any of the below-mentioned acts or conditions has been performed by or applies to the applicant, the portion which applies should be lined out, and a supplementary explanatory statement under oath (or affirmation) by the applicant should be attached and made a part of this application.)

I have not, since acquiring United States citizenship, been naturalized as a citizen of a foreign state; taken an oath or made an affirmation or other formal declaration of allegiance to a foreign state; entered or served in the armed forces of a foreign state; accepted or performed the duties of any office, post, or employment under the government of a foreign state or political subdivision thereof; made a formal renunciation of nationality either in the United States or before a diplomatic or consular officer of the United States in a foreign state; or been convicted by a court or court martial of competent jurisdiction of committing any act of treason against, or attempting by force to overthrow, or bearing arms against, the United States, or conspiring to overthrow, put down, or to destroy by force, the Government of the United States; or having been naturalized, within one year after such naturalization, returned to the country of my birth or any other foreign country to take up a permanent residence.

WARNING: False statements made knowingly and willfully in passport applications or in affidavits or other supporting documents submitted therewith are punishable by fine and or imprisonment under provisions of 18 USC 1001 and/or 18 USC 1542. Alteration or mutilation of a passport issued pursuant to this application is punishable by fine and/or imprisonment under the provisions of 18 USC 1543. The use of a passport in violation of the restrictions contained therein or of the passport regulations is punishable by fine and/or imprisonment under 18 USC 1544. All statements and documents submitted are subject to verification.

PRIVACY ACT STATEMENT:

The information solicited on this form is authorized by, but not limited to, those statutes codified in Titles 8, 18, and 22, United States Code, and all predecessor statutes whether or not codified, and all regulations issued pursuant to Executive Order 11295 of August 5, 1966. The primary purpose for soliciting the information is to establish citizenship, identity, and entitlement to issuance of a United States Passport or related facility, and to properly administer and enforce the laws pertaining thereto.

The information is made available as a routine use on a need-to-know basis to personnel of the Department of State and other government agencies having statutory or other lawful authority to maintain such information in the performance of their official duties; pursuant to a court order; and, as set forth in Part 171, Title 22, Code of Federal Regulations (see *Federal Register*, Volume 42, pages 49791 through 49795).

Failure to provide the information requested on this form may result in the denial of a United States Passport, related document, or service to the individual seeking such passport, document, or service.

HOW TO APPLY FOR A U.S. PASSPORT. U.S. passports are issued only to U.S. citizens or nationals. Each person must obtain his or her own passport.

IF YOU ARE A FIRST-TIME APPLICANT, please complete and submit this application in person. (Applicants under 13 years of age usually need not appear in person unless requested. A parent or guardian may execute the application on the child's behalf.) Each application must be accompanied by (1) PROOF OF U.S. CITIZENSHIP, (2) PROOF OF IDENTITY, (3) TWO PHOTOGRAPHS, (4) FEES (as explained below) to one of the following acceptance agents: a clerk of any Federal or State court of record or a judge or clerk of any probate court accepting applications; a designated postal employee at a selected post office; or an agent at a Passport Agency in Boston, Chicago, Honolulu, Houston, Los Angeles, Miami, New Orleans, New York, Philadelphia, San Francisco, Seattle, Stamford, or Washington, D.C.; or a U.S. consular official.

IF YOU HAVE HAD A PREVIOUS PASSPORT, inquire about eligibility to use Form DSP-82 (mail-in application).

Address requests for passport amendment, extension of validity, or additional visa pages to a Passport Agency or a U.S. Consulate or Embassy abroad. Check visa requirements with consular officials of countries to be visited well in advance of your departure.

(1) PROOF OF U.S. CITIZENSHIP.

(a) APPLICANTS BORN IN THE UNITED STATES. Submit previous U.S. passport or **certified** birth certificate. A birth certificate must include your given name and surname, date and place of birth, date the birth record was filed, and seal or other certification of the official custodian of such records. A record filed more than 1 year after the birth is acceptable if it is supported by evidence described in the next paragraph.

IF NO BIRTH RECORD EXISTS, submit registrar's notice to that effect. Also submit an early baptismal or circumcision certificate, hospital birth record, early census, school, or family Bible records, newspaper or insurance files, or notarized affidavits of persons having knowledge of your birth (preferably with at least one record listed above). Evidence should include your given name and surname, date and place of birth, and seal or other certification of office (if customary) and signature of issuing official.

(b) APPLICANTS BORN OUTSIDE THE UNITED STATES. Submit previous U.S. passport or Certificate of Naturalization, or Certificate of Citizenship, or a Report of Birth Abroad, or evidence described below.

IF YOU CLAIM CITIZENSHIP THROUGH NATURALIZATION OF PARENT(S), submit the Certificate(s) of Naturalization of your parent(s), your foreign birth certificate, and proof of your admission to the United States for permanent residence.

IF YOU CLAIM CITIZENSHIP THROUGH BIRTH ABROAD TO U.S. CITIZEN PARENT(S), submit a Consular Report of Birth (Form FS-240) or Certification of Birth (Form DS-1350 or FS-545), or your foreign birth certificate, parents' marriage certificate, proof of citizenship of your parent(s), and affidavit of U.S. citizen parent(s) showing all periods and places of residence/physical presence in the United States and abroad before your birth.

(2) PROOF OF IDENTITY. If you are not personally known to the acceptance agent, you must establish your identity to the agent's satisfaction. You may submit items such as the following containing your signature AND physical description or photograph that is a good likeness of you: previous U.S. passport; Certificate of Naturalization or of Citizenship; driver's license (not temporary or learner's license); or government (Federal, State, municipal) identification card or pass. Temporary or altered documents are not acceptable.

IF YOU CANNOT PROVE YOUR IDENTITY as stated above, you must appear with an IDENTIFYING WITNESS who is a U.S. citizen or permanent resident alien who has known you for at least 2 years. Your witness must prove his or her identity and complete and sign an Affidavit of Identifying Witness (Form DSP-71) before the acceptance agent. You must also submit some identification of your own.

(3) TWO PHOTOGRAPHS. Submit two identical photographs of you alone, sufficiently recent to be a good likeness (normally taken within the last 6 months), 2 × 2 inches in size, with an image size from bottom of chin to top of head (including hair) of between 1 and 1-3/8 inches. Photographs must be clear, front view, full face, taken in normal street attire without a hat or dark glasses, and printed on thin paper with a plain light (white or off-white) background. They may be black and white or color. They must be capable of withstanding a mounting temperature of 225° Fahrenheit (107° Celsius). Photographs retouched so that your appearance is changed are unacceptable. Snapshots, most vending machine prints, and magazine or full-length photographs are unacceptable.

(4) FEES. Submit $65 if you are 18 years of age or older. The passport fee is $55. In addition, a fee of $10 is charged for the execution of the application. Your passport will be valid for 10 years from the date of issue except where limited by the Secretary of State to a shorter period. Submit $40 if you are under 18 years of age. The passport fee is $30 and the execution fee is $10. Your passport will be valid for 5 years from the date of issue, except where limited as above.

Pay the passport and execution fees in one of the following forms: checks—personal, certified, traveler's; bank draft or cashier's check; money order, U.S. Postal, international, currency exchange; or if abroad, the foreign currency equivalent, or a check drawn on a U.S. bank.

Make passport and execution fees payable to Passport Services (except if applying at a State court, pay execution fee as the State court requires) or the appropriate Embassy or Consulate, if abroad. No fee is charged to applicants with U.S. Government or military authorization for no-fee passports (except State courts may collect the execution fee). Pay special postage if applicable.

FORM DSP-11
12-87

Exhibit 4: DSP-82, Application for Passport by Mail

UNITED STATES DEPARTMENT OF STATE

APPLICATION FOR PASSPORT BY MAIL

TYPE OR PRINT IN BLUE OR BLACK INK IN WHITE AREAS ONLY USE BLOCK LETTERS/NUMBERS

NAME FIRST | MIDDLE

LAST

MAIL PASSPORT TO

STREET / RFD # OR P.O. BOX WILL | APT. #

CITY CALL | STATE | ZIP CODE

IN CARE OF *(IF APPLICABLE)* AGRICULTURE

Issue Date ____

R D O DP

End. # ____ Exp. ____

SEX: Male / Female

PLACE OF BIRTH: City & State or City & Country

DATE OF BIRTH: Month | Day | Year

SOCIAL SECURITY NUMBER (SEE FEDERAL TAX LAW NOTICE ON REVERSE SIDE)

FOLD

HEIGHT: Feet | Inches

HAIR COLOR

EYE COLOR

HOME TELEPHONE ( )

BUSINESS TELEPHONE ( )

NOTE: Most recent passport MUST be enclosed!

PASSPORT NUMBER

ISSUE DATE: Month | Day | Year

PLACE OF ISSUANCE

OCCUPATION *(Not Mandatory)*

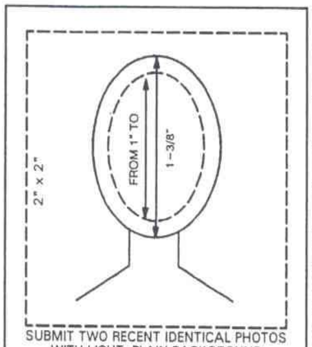
DEPARTURE DATE

TRAVEL PLANS *(Not Mandatory)* COUNTRIES TO BE VISITED

LENGTH OF STAY *(Not Mandatory)*

PERMANENT ADDRESS (Do not list P.O. Box)

STREET / R.F.D. # | CITY | STATE | ZIP CODE



SUBMIT TWO RECENT IDENTICAL PHOTOS WITH LIGHT, PLAIN BACKGROUND

EMERGENCY CONTACT. If you wish, you may supply the name, address and telephone number of a person not traveling with you to be contacted in case of emergency.

NAME

STREET

CITY | STATE | ZIP CODE

TELEPHONE | RELATIONSHIP

OATH AND SIGNATURE (If any of the below-mentioned acts or conditions have been performed by or apply to the applicant, the portion which applies should be lined out, and a supplementary explanatory statement should be attached, signed, and made part of this application.)

I have not, since acquiring United States citizenship, been naturalized as a citizen of a foreign state; taken an oath, or made an affirmation or other formal declaration of allegiance to a foreign state; entered or served in the armed forces of a foreign state; accepted or performed the duties of any office, post, or employment under the Government of a foreign state or political subdivision thereof; made a formal renunciation of nationality either in the United States or before a diplomatic or consular officer of the United States in a foreign state; or been convicted by a court or court martial of competent jurisdiction of committing any act of treason against, or attempting by force to overthrow, or bearing arms against the United States, or conspiring to overthrow, put down or destroy by force the Government of the United States.

FOLD

WARNING: False statements made knowingly and willfully in passport applications or affidavits or other supporting documents are punishable by fine and/or imprisonment under provisions of 18 USC 1001 and/or 18 USC 1542. The alteration or mutilation of a passport issued pursuant to this application is punishable by fine and/or imprisonment under 18 USC 1543. The use of a passport in violation of the restrictions therein is punishable by fine and/or imprisonment under 18 USC 1544.

DECLARATION: I declare that the statements made in this application are true and complete to the best of my knowledge and belief, that the attached photographs are a true likeness of me, and that I have not been issued a passport subsequent to the one submitted herein.

→ NOTE: APPLICANT MUST SIGN & DATE | SIGNATURE | DATE

DO NOT WRITE BELOW THIS SPACE - **FOR PASSPORT SERVICES USE ONLY** - DO NOT WRITE BELOW THIS SPACE

Application Approval

Evidence of Name Change: Marriage Cert. / Court Order

Date ____

Place ____

From ____

To ____

Fees

FORM DSP-82 (12-97)

OMB No. 1405-0020 (Exp. 4/30/2001) Estimated Burden 15 Minutes*

WHAT DO I NEED TO SEND WITH THE APPLICATION FORM?

1. Your most recent passport.
2. A marriage certificate or court order if your name has changed.
3. Passport fee of $40.
4. Two recent (taken within the last 6 months) identical photographs with a light, plain background.

For detailed information on the items to be included, see below.

1. YOUR MOST RECENT PASSPORT. Issued at age 16 or older in your current name (or see item #2 below) and issued within the past 12 years. If your passport is mutilated or damaged, you must apply on the DSP-11 Application form as specified below.

2. A MARRIAGE CERTIFICATE OR COURT ORDER. If the name you are currently using differs from the name on your most recent passport, you must submit a marriage certificate or court order showing the change of name. The name change document MUST bear the official seal of the issuing authority. Uncertified copies or notarized documents cannot be accepted. All documents will be returned to you with your passport. If you are unable to document your name change in this manner, you must apply on the DSP-11 Application form by making a personal appearance at (1) a passport agency; (2) any Federal or State court of record or any probate court accepting passport applications; or (3) a Post Office which has been selected to accept passport applications.

3. THE PASSPORT FEE OF $40. Enclose the $40 passport fee in the form of a personal check or money order. DO NOT SEND CASH. Passport Services cannot be responsible for cash sent through the mail. If you desire special postage other than first class (registered, special delivery, etc.) include the appropriate fee on the check. THE FULL NAME AND DATE OF BIRTH OF THE APPLICANT MUST BE TYPED OR PRINTED ON THE FRONT OF THE CHECK. MAKE CHECKS PAYABLE TO PASSPORT SERVICES. Expedited service is available only in the United States. Expedite requests will be processed in 3 workdays from receipt at a Passport Agency. This service is available only for early departure, generally with proof of travel. The additional fee is $35.

4. TWO RECENT IDENTICAL PHOTOGRAPHS. The photographs must have been taken within the past six months and be a good likeness of you. The photographs must be clear with a full front view of your face and taken on a light (white or off-white) background. Photographs may be in color or black and white and the image size must correspond to the dimensions on the diagram on the front of this form. Photographs must be taken in normal street attire, showing you without headcovering unless a signed statement is submitted indicating that the headcovering is worn daily for religious or medical reasons. Dark glasses may not be worn in passport photographs unless a doctor's statement is submitted supporting the wearing of dark glasses for medical reasons.

MAIL THIS FORM TO:	DELIVERY - Other Than U.S. Postal Service	FOR INQUIRIES CONTACT:
National Passport Center P.O. Box 371971 Pittsburgh, Pa. 15250-7971	Passport Services Lockbox Attn: Passport Supervisor, 371971 3 Mellon Bank Center, Rm. 153-2723 Pittsburgh, Pa. 15259-0001	National Passport Information Center 1-900-225-5674 FOR TDD: 1-900-225-7778 FOR CREDIT CARD USERS: 1-888-362-8668 FOR TDD: 1-888-498-3648 (A fee is charged for this service.)

NOTICE TO APPLICANTS RESIDING ABROAD

United States citizens residing abroad CANNOT submit this form to the Passport Facility listed above. Such applicants should contact the nearest United States Embassy or Consulate for procedures to be followed when applying overseas.

NOTICE TO APPLICANTS FOR OFFICIAL, DIPLOMATIC, OR NO-FEE PASSPORTS

You may use this application if you meet all of the provisions listed above. Submit your U.S. Government or military authorization for a no-fee passport with your application in lieu of the passport fee. CONSULT YOUR SPONSORING AGENCY FOR INSTRUCTIONS ON PROPER ROUTING PROCEDURES BEFORE FORWARDING THIS APPLICATION. Your completed passport will be released to your sponsoring agency for forwarding to you.

FEDERAL TAX LAW

26 U.S.C. 6039E (Internal Revenue Code) requires a passport applicant to provide his/her name and social security number. If you have not been issued a social security number, enter zeros in box. The Department of State must provide this information to the Internal Revenue Service routinely. Any applicant who fails to provide the required information is subject to a $500 penalty enforced by the IRS. All questions on this matter should be referred to the nearest IRS office.

PRIVACY ACT STATEMENT

AUTHORITIES: The information solicited on this form is requested pursuant to provisions in Titles 8, 18, and 22 of the United States Code, whether or not codified, including specifically 22 U.S.C. 211a, 212, 213, and all regulations issued pursuant to Executive Order 11295 (August 5, 1966), including 22 C.F.R Part 51. Also, as noted, 26 U.S.C. 6039E.

PURPOSE: The primary purpose for soliciting the information is to establish citizenship, identity and entitlement to issuance of a U.S. passport. The information may also be used in connection with issuing other travel documents or evidence of citizenship, and in furtherance of the Secretary's responsibility for the protection of U.S. nationals abroad. Social Security information is collected for the IRS (see above).

ROUTINE USES: The information is made available as a routine use on a need-to-know basis to personnel of the Department of State. The principal users of this information are offices within the Bureau of Consular Affairs. Information may also be provided to other government agencies having statutory or other lawful authority to gain access to such information in the performance of their official duties, pursuant to a court order, and as set forth in Part 171, Title 22 C.F.R.

The submission of this form is mandatory in order to obtain a U.S. passport. Individuals who fail to submit this form or who do not provide all the requested information, except that which is marked "Not Mandatory", may be denied a passport, related document, or service.

*Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time required for searching existing data sources, gathering the necessary data, providing the information required and reviewing the final collection. Send comments on the accuracy of this estimate of the burden and recommendations for reducing it to: Department of State (OIS/RA/DIR) Washington, D.C. 20520-0264, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (1405-0004), Washington, D.C. 20503.

USDA
United States Department of Agriculture
Office of the Chief Financial Officer
National Finance Center
P.O. Box 60000
New Orleans
Louisiana 70160

NFC BULLETIN

Title: II, Voucher and Invoice Payments Manual

Chapter: 2, Travel and Transportation Payments, Section 2, Travel Foreign Location Codes (TFLC)

Bulletin: 00–1, Revised Foreign Location Code Appendix

Date: November 2, 2000

To: Holders of the Travel System Procedure

This bulletin announces the initial publication of the Travel Foreign Location Codes (TFLC) as a separate procedure manual for Travel System (TRVL) users. This new publication contains the standard location codes and all current foreign location codes, and replaces the Appendix previously transmitted with TRVL Amendment 3, dated October 26, 1999.

The TFLC procedure is being placed on the National Finance Center's (NFC's) Web site (*www.nfc.usda.gov)*, in lieu of mailing a paper copy. To view TFLC, go to NFC's home page and click on Pubs & Forms in the menu bar, then click on **TRVL Foreign Location Codes** in the left-hand column of the page. The TFLC Web procedure has been formatted to facilitate use directly from the Web site. Accessing TFLC via the Web is the preferred manner to use the new procedure.

NFC will continue to supply paper versions of the publication upon request only. To request a hardcopy version of TFLC from NFC, submit Form AD–1083, Request For Action For Procedures/Reports, following instructions on the form. A copy of Form AD–1083 is attached for your convenience.

Please refer questions about TRVL processing to Travel and Transportation Section personnel at **504–255–4878**. Refer questions about this bulletin to the Directives and Analysis Branch at **504–255–5322** or *nfc.dab@usda.gov*.

RONALD R. BERNHARD, Director
Financial Services Division

Attachment

Filing Instructions: File with the Travel System procedure.

Expiration Date: When superseded

Appendix D

COUNTRY CODES

Code	Country	Code	Country
AA	Aruba	CT	Central African Rep.
AC	Antigua	CU	Cuba
AF	Afghanistan	CV	Cape Verde
AG	Algeria	CW	Cook Islands
AJ	Azerbaijan	CY	Cyprus
AL	Albania	DA	Denmark
AM	Armenia	DJ	Djibouti
AN	Andorra	DM	Dahomey
AO	Angola	DO	Dominica
AQ	American Samoa	DQ	Jarvis Island
AR	Argentina	DR	Dominican Republic
AS	Australia	EA	Estonia
AT	Ashmore and Cartier Isl.	EC	Ecuador
AU	Austria	EG	Egypt
AV	Anguilla	EI	Ireland
AY	Antarctica	EK	Equatorial Guinea
AZ	Azores	EN	England
BA	Bahrain Island	ER	Eritrea
BB	Barbados	ES	El'Salvador
BC	Botswana	ET	Ethiopia
BD	Bermuda	EU	Europa Island
BE	Belgium	EZ	Czech Rep.
BF	Bahamas, The	FG	French Guiana
BG	Bangladesh	FI	Finland
BH	Belize	FJ	Fiji
BI	Burkino-Faso (Upper Volta)	FK	Falkland (Is Malvinas)
BK	Bosnia and Hercegovina	FL	French Austral
BL	Bolivia	FM	Fed States Micronesia
BM	Burma (Myanmar)	FO	Faroe Islands
BN	Benin	FP	French Polynesia
BO	Belarus	FQ	Baker Island
BP	Solomon Islands	FR	France
BQ	Navassa Island	FS	Fr So & Antarctic Lnds
BR	Brazil	FT	Fr Terr of Afars Issas
BS	Bassas Da India	FU	Futana Islands
BT	Bhutan	FW	French West Indies
BU	Bulgaria	GB	Gabon
BV	Bouvet Island	GD	Great Britain
BW	British West Indies	GG	Georgia
BX	Brunei	GH	Ghana
BY	Burundi	GI	Gibraltar
CA	Canada	GJ	Grenada

Code	Country	Code	Country
CB	Cambodia	GK	Guernsey
CD	Chad	GL	Greenland
CE	Sri Lanka	GM	Germany
CF	Congo	GN	Gilbert and Ellice Is
CG	Zaire	GO	Glorioso Islands
CH	China	GP	Guadeloupe I
CI	Chile	GQ	Guam
CJ	Cayman Islands	GR	Greece
CK	Coco (Keeling) Islands	GT	Guatemala
CL	Canary Islands	GU	Guiana
CM	Cameroon	GV	Guinea
CN	Comoros Islands	GY	Guyana
CO	Colombia	GZ	Gaza Strip
CQ	Northern Mariana Is.	HA	Haiti
CR	Coral Sea Islands Terr.	HK	Hong Kong
CS	Costa Rica	HM	Heard Is & McDonald Isls
HO	Honduras	MT	Malta
HQ	Howland Island	MU	Oman
HR	Croatia	MV	Maldives
HU	Hungary	MW	Montenegro
IC	Iceland	MX	Mexico
ID	Indonesia	MY	Malaysia
IM	Man, Isle of	MZ	Mozambique
IN	India	NA	Gambia, The
IO	Br. Indian Ocean Terr.	NB	Namibia
IP	Clipperton Island	NC	New Caledonia
IR	Iran	NE	Niue
IS	Israel	NF	Norfolk Island
IT	Italy	NG	Niger
IV	Ivory Coast	NH	Vanuatu
IY	Iraq-Saudi Araboa N-Zon	NI	Nigeria
IZ	Iraq	NL	Netherlands
JA	Japan	NO	Norway
JE	Jersey	NP	Nepal
JM	Jamaica	NR	Nauru
JN	Jan Mayen	NS	Suriname
JO	Jordan	NT	Netherlands Antilles
JQ	Johnston Atoll	NU	Nicaragua
JU	Juan de Nova Island	NZ	New Zealand
KE	Kenya	OK	Okinawa
KG	Kyrgyzstan	PA	Paraguay
KN	Korea, Dem. Peoples Rep.	PC	Pitcairn Islands
KQ	Kingman Reef	PS	Trist Terr of Pacific
KR	Kiribati	PT	Portuguese Timor

Code	Country	Code	Country
KS	Korea, Rep. of	PU	Guinea-Bissau
KT	Christmas Island	QA	Qatar
KU	Kuwait	RE	Reunion
KZ	Kazakhstan	RH	Southern Rhodesia
LA	Laos	RM	Marshall Islands
LE	Lebanon	RO	Romania
LG	Latvia	RP	Philippines
LH	Lithuania	RQ	Puerto Rico
LI	Liberia	RW	Rwanda
LO	Slovakia	SA	Saudia Arabia
LQ	Palmyra Atoll	SB	St. Pierre and Miquelon
LS	Liechtenstein	SC	St. Kitts and Nevis
LT	Lesotho	SD	Scotland
LU	Luxembourg	SE	Seychelles
LW	Leeward Islands	SF	South Africa
LY	Libya	SG	Senegal
MA	Madagascar	SH	St. Helena
MB	Martinique	SI	Slovenia
MC	Macau	SL	Sierra Leone
MD	Moldova	SM	San Marino
ME	Spanish North Africa	SN	Singapore
MF	Mayotte	SO	Somalia
MG	Mongolia	SP	Spain
MH	Montserrat	SR	Serbia
MI	Malawi	SS	Spanish Sahara
MK	Macedonia	ST	St. Lucia
ML	Mali	SU	Sudan
MN	Monaco	SV	Svalbard
MO	Morocco	SW	Sweden
MP	Mauritius	SX	S.Georgia/S.Sandwich Islands
MQ	Midway Island	SY	Syria
MR	Mauritania	SZ	Switzerland
MS	Malagasy Republic	TA	Tasmania
PE	Peru	TC	United Arab Emirates
PF	Paracel Islands	TD	Trinidad and Tobago
PG	Spratly Islands	TE	Tromelin Island
PK	Pakistan	TH	Thailand
PL	Poland	TI	Tajikistan
PM	Panama	TK	Truks and Caicos Isl
PO	Portugal	TL	Tokelau
PP	Papua New Guinea	TN	Tonga
TO	Togo		
TP	Sao Tome and Principe		

Code	Country	Code	Country
TS	Tunisia "'		
TT	Tahiti		
TU	Turkey		
TV	Tuvalu		
TW	Taiwan		
TX	Turkmenistan		
TZ	Tanzania		
UG	Uganda		
UK	United Kingdom		
UM	U.S. Minor Outlying Isl		
UP	Ukraine		
UR	Russia		
US	United States		
UV	Upper Volta		
UY	Uruguay		
UZ	Uzbekistan		
VC	St. Vincent/Grenadines		
VE	Venezuela		
VI	British Virgin Is.		
VM	Vietnam		
VQ	Virgin Islands		
VT	Vatican City		
WA	Nambia		
WE	West Bank		
WF	Wallis and Futuna		
WI	Western Sahara		
WL	Wales		
WQ	Wake Island		
WS	Western Samoa		
WZ	Swaziland		
YM	Yemen		
YO	Yugoslvaia		
ZA	Zambia		
ZI	Zimbabwe		
ZZ	Zanzibar		

TRVL Foreign Location Codes

Following is a list of foreign temporary duty (TDY) locations with their associated foreign location codes (numeric and alpha country codes and numeric city codes). The locations are listed in alphabetical order by country name, then in numeric order by city code within the country. Cities with multiple per diem rates (e.g., cities with seasonal/nonseasonal rates) have been assigned a different city code for each per diem rate. These codes are noted as High, Middle, Low, and Nonseasonal, as defined in the Explanatory Notes.

To select a city code, first determine the appropriate per diem rate for the specific location and dates of travel by referring to the Department of State's Foreign Per Diem Rates. Then select the corresponding code (High, Middle, Low, or Nonseasonal where applicable) from the list below.

Because of political changes, the TFLC list may include names of countries and cities that are no longer valid. These countries continue to be listed due to the extended nature of relocation travel.

TFLC users should first refer to the Department of State's Web site at *www.state.gov*, then follow the link for Travel and Living Abroad to the Foreign Per Diem Rates link, to obtain the correct country/city name(s) prior to accessing TFLC for the country/city code(s).

Afganistan

Afghanistan

Numeric Country Code	110	
Alpha Country Code	AF	
	City Code	**Name**
	2000	Kabul
	9999	Other

Albania

Albania

Numeric Country Code	120	
Alpha Country Code	AL	
	City Code	**Name**
	1000	Tirana
	9999	Other

Algeria

Algeria

Numeric Country Code	125	
Alpha Country Code	AG	
	City Code	**Name**
	1000	Algiers
	6000	Oran
	9999	Other

Andora

Andora

Numeric Country Code	140	
Alpha Country Code	AN	
	City Code	**Name**

1000	Andorra
9999	Other

Angola

Angola

Numeric Country Code 141

Alpha Country Code AO

City Code	Name
1000	Luanda
9999	Other

Antigua and Barbuda

Antigua and Barbuda

Numeric Country Code 149

Alpha Country Code AC

City Code	Name
1000	Antigua and Barbuda (Low[3])
1001	Antigua and Barbuda (High[1])
9998	Other (Low[3])
9999	Other (High[1])

Argentina

Argentina

Numeric Country Code 150

Alpha Country Code AR

City Code	Name
2001	Bariloche
2000	Buenos Aires
3000	Mar Del Plata
6000	Mendoza
9001	Tierra Del Fuego
9999	Other

Armenia

Armenia

Numeric Country Code 152

Alpha Country Code AR

City Code	Name
1000	Yerevan
9999	Other

Ascension Island

Ascension Island

Numeric Country Code 151

Alpha Country Code AS

City Code	Name

1000	Ascension Island

Ashmore and Cartier

Ashmore and Cartier

Numeric Country Code 998

Alpha Country Code AT

City Code	Name
9998	Other
9999	All Places Not Listed

Australia

Australia

Numeric Country Code 160

Alpha Country Code AS

City Code	Name
0500	Adelaide
0600	Alice Springs
1000	Brisbane
1050	Cairns
2000	Canberra
3000	Darwin Northern Territory (Low[3])
3001	Darwin Northern Territory (High[1])
3002	Darwin Northern Territory (Nonseasonal[4])
3050	Fremantle
4000	Hobart
5000	Melbourne
6000	Perth
7000	Sydney
7001	Sydney (High[1])
7002	Sydney (Low[3])
7010	Tasmania
7005	Townsville
7020	Woomera
9999	Other

Austria

Austria

Numeric Country Code 165

Alpha Country Code AU

City Code	Name
4000	Graz
5000	Innsbruck (Low[3])
5001	Innsbruck (High[1])
5002	Innsbruck (Nonseasonal[4])
6000	Linz

7000	Salzburg (Nonseasonal[4])
8000	Salzburg (Low[3])
8001	Salzburg (High[1])
9000	Vienna
9999	Other

Azerbaijan

Azerbaijan

Numeric Country Code 153

Alpha Country Code AY

City Code	Name
1000	Baku
9999	Other

Azores

Azores

Numeric Country Code 166

Alpha Country Code AR

City Code	Name
2000	Faial Is. (Low[3])
2001	Faial Is. (High[1])
1000	Ponta Delgada (Low[3])
1001	Ponta Delgada (High[1])

Azores

City Code	Name
3000	Sao Miguel Is. (Low[3])
3001	Sao Miguel Is. (High[1])
9998	Other (High[1])
9999	Other (Low[3])

B

Bahamas, The

Bahamas, The

Numeric Country Code 180

Alpha Country Code BF

City Code	Name
0300	Andros Is (Autec)
0500	Andros Island
0600	Eleuthere Island
3000	Grand Bahama Is (Low[3])
3001	Grand Bahama Is (High[1])
5000	Nassau (Low[3])
5001	Nassau (High[1])
5002	Nassau (Nonseasonal[4])
9999	Other

Bahrain

Bahrain

Numeric Country Code 181

Alpha Country Code BA

City Code	Name
1000	Bahrain
9999	Other

Balearic Islands

Balearic Islands

Numeric Country Code 183

Alpha Country Code BL

City Code	Name
1000	Balearic Islands
9998	Other (High[1])
9999	Other (Low[3])

Bangladesh

Bangladesh

Numeric Country Code 182

Alpha Country Code BG

City Code	Name
2000	Chittagong
2001	Dhaka
9999	Other

Barbados

Barbados

Numeric Country Code 185

Alpha Country Code BB

City Code	Name
1000	Barbados (Low[3])
1001	Barbados (High[1])

Belarus

Belarus

Numeric Country Code 186

Alpha Country Code BH

City Code	Name
1000	Minsk
9999	Other

Belgium

Belgium

Numeric Country Code 190

Alpha Country Code BE

City Code	Name
1000	Antwerp
1050	Bertrix
2050	Brugge
2000	Brussels
2001	Diegem
2010	Florennes
2002	Gent
2020	Gosselies
2040	Hasselt
3100	Herstal
3200	Hoogbuul
5101	Leuven
5000	Liege
6000	Mons
6050	Ostende
7000	Paal
5650	Shape/Chievres
5700	Zaventem
9999	Other

Belize

Belize

Numeric Country Code 192

Alpha Country Code BH

City Code	Name
1000	Belize City
9999	Other

Benin

Benin

Numeric Country Code 225

Alpha Country Code BN

City Code	Name
1000	Cotonou
9999	Other

Bermuda

Bermuda

Numeric Country Code 195

Alpha Country Code BD

City Code	Name
1000	Bermuda (High[1])
1001	Bermuda (Low[3])

Bhutan

Bhutan

Numeric Country Code 200

Alpha Country Code BT

City Code	Name
1000	Bhutan

Bolivia

Bolivia

Numeric Country Code 210

Alpha Country Code BL

City Code	Name
2000	Cochabamba
4000	La Paz
4001	La Paz (High[1])
4002	La Paz (Low[3])
5000	Oruro
7000	Santa Cruz
7500	Sucre
8000	Tarija
8100	Trinidad
9998	Other

Bosnia-Hercegovina

Bosnia-Hercegovina

Numeric Country Code 246

Alpha Country Code BK

City Code	Name
1010	Sarajevo
9999	Other

Botswana

Botswana

Numeric Country Code 210

Alpha Country Code BC

City Code	Name
0500	Francistown
1000	Gaborone
3000	Kasane
6000	Selebi Phikwe
9999	Other

Brazil

Brazil

Numeric Country Code 220

Alpha Country Code BR

City Code	Name
1000	Angra Dos Reis
1090	Belem
2200	Belo Horizonte
2500	Brasilia
2558	Campinas
2559	Campo Grande
2600	Curitiba
3500	Florianopolis
4000	Fortaleza
4250	Foz De Iguaca

Brazil

City Code	Name
4500	Goiania
5000	Joao Pessoa
5325	Manaus
6000	Natal
6500	Peixoto
6600	Petrolina
6750	Ponta Pora
7200	Porto Alegre
8000	Porto Velho
8100	Recife Pernambuco
8150	Ribeirao Preto
8200	Rio De Janeiro
9100	Salvador Da Bahia
9175	Sao Jose Dos Campos
9250	Sao Luis
9300	Sao Paulo
9600	Teresina
9650	Viracopos Airport
9750	Vitoria
9700	Other

British West Indies

British West Indies

Numeric Country Code 230

Alpha Country Code BS

City Code	Name
1000	Anguilla (Low[3])
1001	Anguilla (High[1])
2000	Caymen Islands (Low[3])
2001	Caymen Islands (High[1])
4000	Virgin Islands, British (Low[3])
4001	Virgin Islands, British (High[1])
9998	Other (High[1])

British West Indies

City Code	Name
9999	Other (Low[3])

Brunei

Brunei

Numeric Country Code	232
Alpha Country Code	BX

City Code	Name
1000	Bandar Seri Begawan
9999	Other

Bulgaria

Bulgaria

Numeric Country Code	245
Alpha Country Code	BU

City Code	Name
1000	Bourgas
2000	Plovdiv
3000	Ruse
4000	Sofia
5000	Varna
9999	Other

Burkina

Burkina

Numeric Country Code	247
Alpha Country Code	BU

City Code	Name
1000	Bobo Dioulasso
2000	Ouagadougou
9999	Other

Burma

Burma

Numeric Country Code	250
Alpha Country Code	BM

City Code	Name
8000	Rangoon
9999	Other

Burundi

Burundi

Numeric Country Code	252
Alpha Country Code	BY

City Code	Name

1000	Bujumbura
9999	Other

C

Cambodia

Cambodia

Numeric Country Code 254

Alpha Country Code CB

City Code	Name
1000	Phnom Penh
1050	Siem Riep
1051	Siem Riep (High[1])
1052	Siem Riep (Low[3])
9999	Other

Cameroon

Cameroon

Numeric Country Code 257

Alpha Country Code CM

City Code	Name
1000	Douala
8000	Yaounde
9999	Other

Canada

Canada

Numeric Country Code 260

Alpha Country Code CA

City Code	Name
0900	Bagotville (QUE)
0950	Baie Comeau (QUE)
0951	Banff (ALTA) (Low[3])
0952	Banff (ALTA) (High[1])
0990	Brandon (MAN)
1050	Calgary (ALTA)
1500	Chicoutimi (QUE)
1550	Churchill (MAN)
1200	Dartmouth (Low[3])
1201	Dartmouth (High[1])
1202	Dartmouth (Nonseasonal[4])
1300	Drumheller (ALTA)
1750	Edmonton (ALTA)
1400	Fredericton (NB)
1800	Gander (NFLD)
1850	Goose Bay (NFLD)
2800	

	Halifax (Low[3])
2801	Halifax (High[1])
2802	Halifax (Nonseasonal[4])
4976	Igaluit (N.W.T.)
4975	Inuvik (N.W.T.)
3500	Kingston (ONT)
3510	Kitchener (ONT)
3640	London (ONT)
3600	Mississauga (ONT)
4600	Moncton (N.B.)
4550	Montreal (QUE)
4700	New Brunswick (Low[3])
4701	New Brunswick (High[1])
4950	North Bay (ONT)
4800	Northwest Territories
5200	Ottawa (ONT)
5266	Port Cartier (QUE)
5400	Prince Albert (SASK)
5225	Prince Edward Is. (Low[3])
5226	Prince Edward Is. (High[1])
5227	Prince Edward Is. (Nonseasonal[4])
5500	Prince Rupert (BC)
5950	Quebec (QUE) (Low[3])
5951	Quebec (QUE) (High[1])
5955	Queen Charlotte Is (BC)
5970	Red Deer (ALTA)
5980	Regina (SASK)
6175	Richmond (BC) (Low[3])
6176	Richmond (BC) (High[1])
6725	Saskatoon (SASK)
6965	Sidney (Low[3])
6966	Sidney (High[1])
6700	St Johns (NFLD)
6985	Thunder Bay (ONT)
7000	Toronto (ONT)
7100	Toronto (ONT) (High[1])
7200	Toronto (ONT) (Low[3])
7500	Trois-Rivieres (QUE)
7700	Vancouver (BC) (Low[3])
7701	Vancouver (BC) (High[1])
7800	Victoria (BC) (Low[3])
7801	Victoria (BC) (High[1])
7805	Waterloo(ONT)
8050	Windsor (ONT)
8060	Winnipeg (MAN)

4977	Yellowknife (N.W.T.)
9996	Other (VANC.IS.BC)
9999	Other

Canary Islands

Canary Islands

Numeric Country Code 262

Alpha Country Code CE

City Code	Name
1000	Canary Islands

Cape Verde

Cape Verde

Numeric Country Code 264

Alpha Country Code CV

City Code	Name
1000	Boa Viste Is.
1050	Praia
8000	Sal Is
2000	Sao Tiago Island
2050	Sao Vicente Is.
9999	Other

Central African Rep.

Central African Rep.

Numeric Country Code 269

Alpha Country Code CT

City Code	Name
1000	Bangui
9999	Other

Chad

Chad

Numeric Country Code 273

Alpha Country Code CD

City Code	Name
3000	Ndjamena
9999	Other

Chagos Archipelago

Chagos Archipelago

Numeric Country Code 274

Alpha Country Code CS

City Code	Name
1000	Chagos Archipelago

Chili

Chili

Numeric Country Code	275	
Alpha Country Code	CI	
	City Code	**Name**
	8000	Santiago
	9999	Other

China

China

Numeric Country Code	280	
Alpha Country Code	CH	
	City Code	**Name**
	1040	Beijing (Nonseasonal[4])
	1050	Beijing (Low[3])
	1051	Beijing (High[1])
	2200	Chengdu
	2250	Chongqing
	2300	Dalian
	2400	Fuzhou
	2500	Guangzhou
	2560	Guilin
	2575	Haikou
	2576	Hangzhou
	2577	Harbin
	3300	Kunming
	4600	Lhasa
	4650	Lijang
	4700	Nanjing
	4800	Qingdao
>	2300	Sanya<
	5800	Shanghai
	6000	Shantou
	5860	Shenyang
	5861	Shenzhen
	6200	Tianjin
	6250	Wuxi
	8500	Xiamen
	8501	Xian
	9999	Other

Cocos (Keeling) Islands

Cocos (Keeling) Islands

Numeric Country Code	284	
Alpha Country Code	CK	
	City Code	**Name**

1000	Cocos Islands
9999	Other

Colombia

Colombia

Numeric Country Code	285	
Alpha Country Code	CO	
	City Code	**Name**
	1000	Barranquilla
	1500	Bogota
	1600	Buenaventura
	3000	Cali
	2000	Cartagena
	3300	Medillin
	4000	San Andres
	4050	Santa Marta
	9999	Other

Comoros

Comoros

Numeric Country Code	286	
Alpha Country Code	CN	
	City Code	**Name**
	1000	Moroni
	1050	Other

Congo

Congo

Numeric Country Code	290	
Alpha Country Code	CF	
	City Code	**Name**
	1000	Brazzaville
	9999	Other

Congo, Democratic Republic of

Congo, Democratic Republic of

Numeric Country Code	291	
Alpha Country Code	CG	
	City Code	**Name**
	2000	Bukavu
	3000	Goma
	5000	Kinshasa
	6000	Lubumashi
	7000	Mbuji Mayi, Kasai
	9999	Other

Cook Islands
Cook Islands

Numeric Country Code	293
Alpha Country Code	CW

City Code	Name
1000	Rarotonga
9999	Other

Coral Sea Islands
Coral Sea Islands

Numeric Country Code	274
Alpha Country Code	CR

City Code	Name
9999	Other

Costa Rica
Costa Rica

Numeric Country Code	295
Alpha Country Code	CS

City Code	Name
1000	San Jose
9999	Other

Cote D'Ivoire
Cote D'Ivoire

Numeric Country Code	296
Alpha Country Code	CV

City Code	Name
1000	Abidjan
2000	Grand Bereby
5000	Yamoussoukro
9999	Other

Croatia
Croatia

Numeric Country Code	298
Alpha Country Code	CY

City Code	Name
1000	Zagreb
1050	Cavtat (High[1])
1060	Cavtat (Low[3])
2000	Dubrovnik (High[1])
2050	Dubrovnik (Low[3])
9999	Other

Cuba

Cuba

Numeric Country Code 300

Alpha Country Code CU

City Code	Name
0301	Guantanamo Bay
0400	Havana
9999	Other

Cyprus

Cyprus

Numeric Country Code 305

Alpha Country Code CY

City Code	Name
2000	Akrotiri
5000	Limassol (Nonseasonal[4])
5050	Limassol (High[1])
5051	Limassol (Low[3])
6000	Nicosia
9997	Other (High[1])
9998	Other (Low[3])
9999	Other (Nonseasonal[4])

Czechoslovakia

Czechoslovakia

Numeric Country Code 310

Alpha Country Code CZ

City Code	Name
8000	Prague
9999	Other

D

Denmark

Denmark

Numeric Country Code 315

Alpha Country Code DA

City Code	Name
0500	Aalborg
1000	Copenhagen
1050	Copenhagen (High[1])
1051	Copenhagen (Low[3])
4000	Odense
9999	Other

Dijibouti

Djibouti

Numeric Country Code	317	
Alpha Country Code	DJ	
	City Code	**Name**
	1000	Dijbouti (City)
	9999	Other

Dominica

Dominica

Numeric Country Code	318	
Alpha Country Code	DO	
	City Code	**Name**
	1000	Dominica
	9999	Other

Dominican Republic

Dominican Republic

Numeric Country Code	320	
Alpha Country Code	DR	
	City Code	**Name**
	4000	La Romana (Low[3])
	4001	La Romana (High[1])
	4050	La Romana (Nonseasonal[4])
	6000	Puerto Plata (Low[3])
	6001	Puerto Plata (High[1])
	6002	Puerto Plata (Nonseasonal[4])
	8600	Santo Domingo
	9000	Sosua (Low[3])
	9001	Sosua (High[1])
	9002	Sosua (Nonseasonal[4])
	9999	Other

E

Easter Islands

Easter Islands

Numeric Country Code	321	
Alpha Country Code	EL	
	City Code	**Name**
	1000	Easter Island

East Timor

East Timor

Numeric Country Code	319	
Alpha Country Code	ET	
	City Code	**Name**
	1000	East Timor

Ecuador

Ecuador

Numeric Country Code	325	
Alpha Country Code	EC	
	City Code	**Name**
	1500	Cuenca
	3000	Quayaquil
	4100	Manta
	7500	Quito
	9999	Other

Egypt

Egypt

Numeric Country Code	922	
Alpha Country Code	EG	
	City Code	**Name**
	1000	Alexandria
	1300	Aswan
	1301	Bir Taba
	3000	Cairo
	1400	Dahab
	3750	El Arish
	3800	El Fayoum
	3850	El Gorah
	4010	El Minya
	4015	Hurgada
	4025	Ismailia
	8000	Luxor
	5000	Marsa Matrouh
	8500	Mfo Bases
	8750	Nuweiba
	6000	Port Said
	7000	Ras Nasrani
	9000	Sharm El Sheikh
	9500	Sidi Abdel Rahman
	9700	St Catherine
	9999	Other

El Salvador

El Salvador

Numeric Country Code	330	
Alpha Country Code	ES	
	City Code	**Name**
	6000	San Salvador
	9999	Other

Equitorial Guinea

Equitorial Guinea

Numeric Country Code	332	
Alpha Country Code	EK	
	City Code	**Name**
	1000	Malabo
	9999	Other

Eritreu

Eritreu

Numeric Country Code	334	
Alpha Country Code	ER	
	City Code	**Name**
	1000	Asmara
	9999	Other

Estonia

Estonia

Numeric Country Code	333	
Alpha Country Code	EN	
	City Code	**Name**
	1000	Tallinn
	9999	Other

Ethiopia

Ethiopia

Numeric Country Code	335	
Alpha Country Code	ET	
	City Code	**Name**
	1000	Addis Ababa
	9999	Other

F

Falkland Islands

Falkland Islands

Numeric Country Code	337	
Alpha Country Code	FK	
	City Code	**Name**
	1000	Falkland Islands
	9999	Other

Faroe Islands

Faroe Islands

Numeric Country Code	336
Alpha Country Code	FO

City Code	Name
1000	Faroe Islands
9999	Other

Fiji

Fiji

Numeric Country Code 338

Alpha Country Code FJ

City Code	Name
1000	Korolevu
3000	Nadi
5700	Sigatoka
6000	Suva
9999	Other

Finland

Finland

Numeric Country Code 340

Alpha Country Code FI

City Code	Name
1000	Helsinki
9999	Other

France

France

Numeric Country Code 350

Alpha Country Code FR

City Code	Name
0090	Aix En Provence
0450	Bordeaux
0790	Cannes (Low[3])
0791	Cannes (High[1])
0800	Clermont-Ferrand
0850	Evian
0955	Istres
5240	Lille
5250	Lyon
5380	Marignane
5400	Marseille
0900	Metz
0950	Montpellier
1000	Mulhouse
1050	Nancy
6000	Nice
6302	Paris
8700	Serres

	8850	Severes
	8250	Strasbourg
	8750	Suresness
	8600	Toulouse
	9999	Other

French Guinea

French Guinea

Numeric Country Code	355	
Alpha Country Code	FG	
	City Code	**Name**
	1000	French Guinea (Low[3])
	1050	French Guinea (High[1])
	2000	French Guinea (Nonseasonal[4])

French Polynesia

French Polynesia

Numeric Country Code	367	
Alpha Country Code	FP	
	City Code	**Name**
	1000	French Polynesia
	9999	Other

G

Gabon

Gabon

Numeric Country Code	388	
Alpha Country Code	GB	
	City Code	**Name**
	1000	Libreville
	9999	Other

Gambia, The

Gambia, The

Numeric Country Code	389	
Alpha Country Code	GA	
	City Code	**Name**
	1000	Banjul (Low[3])
	1001	Banjul (High[1])
	9999	Other

Georgia

Georgia

Numeric Country Code	390	
Alpha Country Code	GG	
	City Code	**Name**

1000	Tbilisi
9999	Other

Germany

Germany

Numeric Country Code 394

Alpha Country Code GE

City Code	Name
0400	Aachen

Germany

City Code	Name
0750	Augsburg
0800	Bad Aibling (B)
1000	Bad Honnef
1025	Bad Kreuznach (RP)
1500	Bayreuth
1900	Berchtesgaden
2100	Berlin (West)
2200	Bielefeld
2400	Boeblingen (BW)
2450	Bonames (H)
2500	Bonn
2800	Bremen (BR)
2825	Bremerhaven (BR)
3400	Chemnitz (SX)
3500	Cologne (NRW)
3600	Cottbus
3825	Darmstadt (H)
3900	Delmenhorst
3950	Dessau
3850	Dresden (SX)
3990	Dueren (NRW)
4000	Duesseldorf (NRW)
4050	Echterdingen (BW)
4100	Erfurt (TR)
4250	Erlangen (B)
4270	Erlensee (H)
4300	Eschborn (H)
4375	Essen (NRW)
4400	Esslingen (BW)
4500	Feldberg (BW)
4900	Flensburg (SH)
5000	Frankfurt Am Main

Germany

City Code	Name
5050	Frankfurt An Der Oder

5010	Freiburg (BW)
5180	Fuerth (B)
5051	Garlstedt
5220	Garmisch-Partenkirch
5052	Germering
5053	Giebelstadt
5056	Greifswald
5054	Greven
5055	Halle
5500	Hamburg (HAM)
5520	Hanau (H)
5540	Handorf
5530	Hannover (LS)
5550	Heidelberg (BW)
5570	Heilbronn (BW)
5560	Herongen
5580	Herrsching
5610	Herzogenaurach (B)
5620	Hoechst (H)
5630	Ingolstadt (B)
5640	Juelich (NRW)
5680	Kaiserslautern (RP)
5690	Kalkar
5695	Karlsruhe (BW)
5699	Kerpen (NRW)
5700	Kiel
5710	Kitzingen
5732	Koblenz (RP)
5735	Koenigswinter (NRW)
5780	Konstanz (BW)
5740	Kornwestheim (BW)

Germany

City Code	Name
5770	Landstuhl (RP)
5750	Leimen
5800	Leipzig (SX)
5815	Ludwigsburg (BW)
5820	Magdeburg
5830	Mainz (RP)
5845	Mannheim (BW)
5870	Moenchen-Gladbach (N)
5945	Muenster (NRW)
6000	Munich (B)
6200	Nellingen (BW)
6250	Neu Ulm (B)
6300	Neubrandenburg

6350	Niederbachem (NRW)
6500	Nuernberg (B)
6550	Ober Ramstadt
6545	Oberammergau (B)
6747	Offenbach (H)
6748	Osnabrueck (LS)
6800	Osterholz-Scharmbeck
7200	Ramstein (RP)
7250	Regensburg (B)
7275	Rheinaw
7355	Rheinberg (NRW)
7450	Rhoendorf (NRW)
7500	Rodenbach (H)
7460	Roedelheim (H)
7600	Rosenheim (B)
7650	Rostock Warnemuende
7795	Saarbruecken (S)
8000	Schwabach (B)
8200	Schwerin

Germany

City Code	Name
8300	Schwetzingen (BW)
8350	Seckenheim
8360	Sembach
8400	Sindelfingen (BW)
8425	Sindorf (NRW)
8450	Starnberg
9000	Stuttgart (BW)
9010	Sylt Island
9135	Trier
9150	Tuebingen (BW)
9200	Twisteden
9403	Ueberlingen (BW)
9410	Ulm (BW)
9428	Viernheim (H)
9439	Wackernheim (RP)
9600	Wahn
9450	Walldorf (BW)
9550	Weimar
9650	Wertheim
9500	Wiesbaden (H)
9680	Worms (RP)
9720	Wuerzburg (B)
9750	Xanten (NRW)
9780	Zirndorf (B)
9999	Other

Ghana
Ghana

Numeric Country Code	396		
Alpha Country Code	GH		
	City Code	**Name**	
	1000	Accra	
	1050	Kumasi	
	2000	Sekondi-Takoradi	
	9999	Other	

Gibraltar
Gibraltar

Numeric Country Code	397	
Alpha Country Code	GI	
	City Code	**Name**
	9999	Gibraltar

Greece
Greece

Numeric Country Code	400	
Alpha Country Code	GR	
	City Code	**Name**
	1050	Araxos
	2000	Argyroupolis (Low[3])
	2001	Argyroupolis (High[1])
	2002	Argyroupolis (Nonseasonal[4])
	2500	Athens
	2501	Athens (High[1])
	2502	Athens (Low[3])
	2600	Iraklion (Crete) (Low[3])
	2601	Iraklion (Crete) (High[1])
	2602	Iraklion (Crete) (Nonseasonal[4])
	2700	Mt. Hortiatis (Low[3])
	2750	Mt. Hortiatis (High[1])
	2751	Mt. Hortiatis (Nonseasonal[4])
	2800	Perivolaki (Low[3])
	2850	Perivolaki (High[1])
	2851	Perivolaki (Nonseasonal[4])
	3000	Rhodes (Island of) (Low[3])
	3001	Rhodes (Island of) (High[1])
	2900	Tanagra
	6500	Thessaloniki (Low[3])
	6550	Thessaloniki (High[1])
	6551	

	Thessaloniki (Nonseasonal[4])
9999	Other

Greenland

Greenland

Numeric Country Code 405

Alpha Country Code GL

City Code	Name
9999	Greenland

Grenada

Grenada

Numeric Country Code 406

Alpha Country Code GJ

City Code	Name
1000	Grenada (Low[3])
1001	Grenada (High[1])

Guadeloupe

Guadeloupe

Numeric Country Code 407

Alpha Country Code GP

City Code	Name
6500	St Martin (Fr Part) (Low[3])
6501	St Martin (Fr Part) (High[1])
9999	Other

guatemala

Guatemala

Numeric Country Code 415

Alpha Country Code GT

City Code	Name
5000	Guatemala City
9999	Other

Guinea

Guinea

Numeric Country Code 417

Alpha Country Code GV

City Code	Name
1000	Conakry
9999	Guinea
9998	Other

Guinea-Bissau

Guinea-Bissau

Numeric Country Code 419
Alpha Country Code GV

City Code	Name
1000	Bissau
9999	Other

Guyana
Guyana
Numeric Country Code 418
Alpha Country Code GY

City Code	Name
1000	Georgetown
9999	Guyana
9998	Other

H

Haiti
Haiti
Numeric Country Code 420
Alpha Country Code HA

City Code	Name
1000	Cap-Haitien
2000	Petionville
3000	Port-Au-Prince
9999	Other

Holy See, The
Holy See, The
Numeric Country Code 425
Alpha Country Code HO

City Code	Name
1000	Holy See, The

Honduras
Honduras
Numeric Country Code 430
Alpha Country Code HO

City Code	Name
0950	Bay Is
4000	Choluteca
4500	La Ceiba
5000	Puerto Cortes
6900	San Lorenzo
7000	San Pedro Sula
8000	Tegucigalpa
8100	Tela

8050	Trujillo
9999	Other

Hong Kong

Hong Kong

Numeric Country Code 435

Alpha Country Code HK

City Code	Name
1000	Hong Kong
9999	Other

Hungary

Hungary

Numeric Country Code 445

Alpha Country Code HU

City Code	Name
2000	Budapest
9999	Other

I

Iceland

Iceland

Numeric Country Code 450

Alpha Country Code IC

City Code	Name
1000	Keflavik
1050	Reykjavik (Low[3])
1051	Reykjavik (High[1])
9999	Other

India

India

Numeric Country Code 455

Alpha Country Code IN

	City Code	Name
	1000	Agra
	2000	Bangalore
>	2001	Bangalore (High[1]) <
>	2002	Bangalore (Low[3]) <
	2700	Bhubaneswar
	2925	Bombay
	3000	Calcutta
	3100	Chennai
	3500	Cochin
	3950	Goa
	4700	Hyderabad

6000	Madras
6100	Mumbai
6600	Mysore
6500	New Delhi
6501	New Delhi (High[1])
6502	New Delhi (Low[3])
7025	Patna
2200	Pecs
2300	Szeged
3100	Chennai
9000	Trivandrum
9999	Other

Indonesia

Indonesia

Numeric Country Code 458

Alpha Country Code ID

City Code	Name
0100	Ambon
0200	Bali
0900	Balikpapan
1000	Bandung
2000	Batam
3200	Jakarta
3500	Jayapura
4900	Manado
5000	Medan
6100	Palembang
7000	Semarang
7500	Solo
8000	Surabaya
8100	Tumika, Irian Jaya
9000	Ujung Pandang
9500	Yogyakarta
9999	Other

Iran

Iran

Numeric Country Code 460

Alpha Country Code IR

City Code	Name
8250	Tehran
9999	Other

Iraq

Iraq

Numeric Country Code 465
Alpha Country Code IZ

City Code	Name
1000	Baghdad
1500	Basra
2000	Northern Iraq
9999	Other

Ireland
Ireland
Numeric Country Code 470
Alpha Country Code EI

City Code	Name
2000	Adare
2050	Cork
3000	Dublin
5000	Galway
1000	Limerick
9999	Other

Israel
Israel
Numeric Country Code 475
Alpha Country Code IS

City Code	Name
1800	Eilat
7900	En Boqeq
2000	Haifa
6500	Sedom
7000	Tel Aviv
8000	Tiberias
9999	Other

Italy
Italy
Numeric Country Code 480
Alpha Country Code IT

City Code	Name
0200	Arezzo
0350	Assemini (Sardinia)
0390	Avellino
0395	Avezzano
0500	Bari
0525	Bergamo
0600	Bologna
0800	Bolzano

0900	Brescia
1400	Cagliari (Sardinia)
1800	Capri Is
1900	Caserma Ederle
2100	Catania (Sicily)
2200	Catanzario
2210	Cervia
2250	Civitavecchia
2300	Como

Italy

City Code	Name
2310	Cosenza
2327	Cremona
2330	Crotone
2340	Decimomannu (Sardinia)
2350	Desenzano del Garda
2400	Ferrara
2500	Florence
2700	Forli
2800	Gaeta (Low[3])
2850	Gaeta (High[1])
3000	Genoa
3300	Grosseto
3500	La Maddalena Is (Sar)
3900	La Spezia
3995	Lecce
4010	Leghorn
4500	Lucca
4600	Malpensa
4275	Mantova
4290	Marcoliano
4000	Mestre
5200	Milan (Nonseasonal[4])
5210	Milan (High[1] from 02/01 to 06/30)
5211	Milan (High[1] from 09/01 to 11/30)
5220	Milan (Low[3] from 07/01 to 08/31)
5221	Milan (Low[3] from 12/01 to 01/31)
5300	Modena
5500	Naples
5600	Novara
6000	Palermo (Sicily)
6070	Parma
6100	Pavia
6201	Piacenza
6500	Pisa

Italy

City Code	Name
5800	Pistoia
6570	Potenza
6600	Punta Ala
6650	Ravenna
6700	Reggio Calabria
6720	Reggio Emilia
6705	Riccione
6708	Rieti
6725	Rimini
7000	Rome
7050	San Remo
7190	San Vito Dei Normanni As
7250	Sardinia (Low[3])
7251	Sardinia (High[1])
7252	Sardinia (Nonseasonal[4])
7350	Senigallia (Low[3])
7351	Senigallia (High[1])
7120	Siena
7140	Sigonella (Sicily)
7150	Sorrento
7180	Stresa
7200	Taormina
7300	Taranto
7500	Tirrenia
7600	Trento
7775	Treviso
7800	Trieste
8000	Turin
8500	Udine
8800	Uta (Sardinia)
8900	Varese
8050	Venice
9300	Verona
9400	Vicenza

Italy

City Code	Name
9500	Villasor
9999	Other

J

Jamaica

Jamaica

Numeric Country Code 487

Alpha Country Code JM

City Code	Name

1000	Kingston
9999	Other

Japan

Japan

Numeric Country Code 490

Alpha Country Code JA

City Code	Name
0200	Akashi
0395	Akita
0500	Amagasaki
0530	Aomori
0545	Asahikawa
0555	Ashiya (Hyogo)
0600	Awashima
0800	Beppu (Oita)
1400	Chitose
2480	Fukui
2500	Fukuoka
2650	Fukuyama (Hiroshima)
2800	Gifu
3000	Hamamatsu
3225	Hiroshima
3300	Itazuka
3400	Izumisano
4000	Kagoshima
4050	Kanazawa
4400	Kitakyushu
4500	Kobe (Hyogo)
4510	Kochi
4600	Komaki
4700	Kumamoto
4820	Kurashiki
4750	Kure
4775	Kushimoto (Wakayama)
4780	Kushiro
4800	Kyoto
4878	Matsue (Shimane)
4880	Matsuyama (Ehime)
4895	Miyazaki
4950	Morioka (Iwate)
5000	Nagasaki
5050	Nagoya (Aichi)
5100	Nara
5080	Narita
5200	Niigata

5300	Nishinomiya
5475	Obihiro
5500	Oita
5610	Okayama
5615	Okinawa Is
5616	Okinawa Prefecture
5617	Okinawa Prefecture (High[1])
5618	Okinawa Prefecture (Low[3])
5800	Osaka-Kobe
5900	Otsu
6100	Oyama
7050	Sapporo
7051	Sapporo (Low[3] from 03/01 to 04/30)
7052	Sapporo (High[1] from 05/01 to 10/30)
7053	Sapporo (Low[3] from 11/01 to 11/30)
7054	Sapporo (High[1] from 12/01 to 02/28)
7060	Sasebo
7200	Sendai (Miyagi)
7300	Shiga
7650	Takamatsu
7675	Takayama
7975	Tokushima
8000	Tokyo
8001	Tokyo-To
8120	Tottori
8123	Toyama
8150	Toyonaka
8200	Tsu
8675	Wakayama
8800	Yamato
9400	Yokohama
9450	Yokosuka US Fleet Act
9500	Yokota
9600	Yufuin
9999	Other

Jersey

Jersey

Numeric Country Code 496

Alpha Country Code JE

City Code	Name
9999	Other

Jerusalem

Jerusalem

Numeric Country Code 497

Alpha Country Code JE

City Code	Name
1000	Jerusalem

Jordan

Jordan

Numeric Country Code 500

Alpha Country Code JO

City Code	Name
1000	Amman
3000	Dead Sea/Jordan Valley <
9999	Other

K

Kampuchea

Kampuchea

Numeric Country Code 255

Alpha Country Code CB

City Code	Name
9999	Other

Kazakhstan

Kazakhstan

Numeric Country Code 506

Alpha Country Code KG

City Code	Name
1000	Almaty
1500	Astana
2000	Chongju
9999	Other

Kenya

Kenya

Numeric Country Code 505

Alpha Country Code KE

City Code	Name
2800	Kahawa
2900	Kiambu
2920	Kihara
2930	Kikuyu
2940	Kirbichiku
2950	Kisumu
3600	Lion Hill Cmp (Nak.na)
3000	Lamu (High[1])
3001	Lamu (Middle[2])
3002	Lamu (Low[3])

3003	Malindi (High[1])
3004	Malindi (Middle[2])
3004	Malindi (Low[3])
3700	Malindi
4000	Mombasa (Low[3])
4001	Mombasa (Middle[2])
4002	Mombasa (High[1])
3006	Mt. Kenya Area (High[1])
3007	Mt. Kenya Area (Low[3])
5000	Nairobi
5100	Nakuru
5400	Nanyuki
7000	Ruiru
7500	Thogoto
9000	Wangige
9999	Other

Kiribati

Kiribati

Numeric Country Code 508

Alpha Country Code KR

City Code	Name
1000	Christmas Island
5000	Tarawa
9999	Other

Korea

Korea

Numeric Country Code 515

Alpha Country Code KS

City Code	Name
0500	Camp Humphreys
1000	Camps Market
1024	Changwon

Korea

City Code	Name
1027	Cheju
1025	Chinhae
1030	Chinju
2000	Chongju
2010	Chonju
3000	Chung Ju
4000	K-16
4710	Kimhae
4730	Kunsan
4700	Kwangju

4718	Kimpo Airfield
4740	Kyongju
4900	Masan
5000	Mercer & Colbern
6350	Okpo (Koje-Do)
6600	Pohang
6500	Pusan
6510	Pyongtaek
7000	Seoul
7200	Suwon
7300	Sokcho
8000	Taegu
8200	Taejon
8900	Uijongbu
8800	Ulsan
9000	Yongsan US Army Garrison
9999	Other

Korea, Dem. Peoples Rep.

Korea, Dem. Peoples Rep.

Numeric Country Code 510

Alpha Country Code KN

City Code	Name
1000	Pyongyang
9999	Other

Kuwait

Kuwait

Numeric Country Code 520

Alpha Country Code KU

City Code	Name
1000	Kuwait City
9999	Other

Kyrgystan

Kyrgyzstan

Numeric Country Code 525

Alpha Country Code KG

City Code	Name
1000	Bishkek
9999	Other

L

Laos

Laos

Numeric Country Code 530

Alpha Country Code	LA	
	City Code	**Name**
	1000	Vientiane
	9999	Other

Lativa

Latvia

Numeric Country Code	535	
Alpha Country Code	LG	
	City Code	**Name**
	1000	Riga
	9999	Other

Lebanon

Lebanon

Numeric Country Code	543	
Alpha Country Code	LT	
	City Code	**Name**
	1000	Beirut
	9999	Other

Lesotho

Lesotho

Numeric Country Code	544	
Alpha Country Code	LT	
	City Code	**Name**
	1000	Maseru
	9999	Other

Liberia

Liberia

Numeric Country Code	545	
Alpha Country Code	LI	
	City Code	**Name**
	1000	Camp Schiefflin
	6000	Monrovia
	8000	Roberts Int'l Airpor
	9999	Other

Libya

Libya

Numeric Country Code	550	
Alpha Country Code	LY	
	City Code	**Name**
	0100	Benghazi
	0500	Misurata

1000	Sirte
1050	Tripoli
9999	Other

Liechtenstein
Liechtenstein
Numeric Country Code 553
Alpha Country Code LS

City Code	Name
1000	Liechtenstein
9999	Other

Lithuania
Lithuania
Numeric Country Code 555
Alpha Country Code LH

City Code	Name
1000	Vilnius
9999	Other

Luxembourg
Luxembourg
Numeric Country Code 570
Alpha Country Code LU

City Code	Name
1000	Luxembourg
9999	Other

M

Macau
Macau
Numeric Country Code 573
Alpha Country Code MC

City Code	Name
1000	Macau
5000	Skopje
9999	Other

Madagascar
Madagascar
Numeric Country Code 575
Alpha Country Code MA

City Code	Name
1000	Antananarivo
5000	Nosy Be
9999	Other

Madeira Is

Madeira Is

Numeric Country Code	576	
Alpha Country Code	MI	
	City Code	**Name**
	1000	Madeira Islands
	9999	Other

Malawi

Malawi

Numeric Country Code	577	
Alpha Country Code	MI	
	City Code	**Name**
	1000	Blantyre
	6000	Lilongwe
	7000	Mangoche
	7450	Mzuzu
	9000	Zomba
	9999	Other

Malaysia

Malaysia

Numeric Country Code	580	
Alpha Country Code	MY	
	City Code	**Name**
	1000	Johor Bahru
	2950	Kota Kinabalu, Sabah
	3000	Kuala Lumpur
	3100	Kuching
	9999	Other

Maldives

Maldives

Numeric Country Code	583	
Alpha Country Code	MV	
	City Code	**Name**
	1000	Maldives (Low[3])
	1001	Maldives (High[1])
	9998	Other (High[1])
	9999	Other (Low[3])

Mali

Mali

Numeric Country Code	585
Alpha Country Code	ML

City Code	Name
2000	Bamako
5000	Mopti
8000	Timbuktu
9999	Other

Malta

Malta

Numeric Country Code 590

Alpha Country Code MT

City Code	Name
1000	Malta (Low[3])
1001	Malta (High[1])
1002	Malta (Nonseasonal[4])

Marshall Islands

Marshall Islands

Numeric Country Code 586

Alpha Country Code MI

City Code	Name
1000	Ebeye Island
2000	Majuro
3000	Kwajalein Atoll
9999	Other

Martinique

Martinique

Numeric Country Code 591

Alpha Country Code MB

City Code	Name
1000	Martinique (Low[3])
1001	Martinique (High[1])

Mauritania

Mauritania

Numeric Country Code 592

Alpha Country Code MR

City Code	Name
5000	Nouadhibou
6000	Nouakchott
9999	Other

Mauritius

Mauritius

Numeric Country Code 593

Alpha Country Code MP

City Code	Name

1000	Mauritias
9999	Other

Mexico

Mexico

Numeric Country Code	595	
Alpha Country Code	MX	
	City Code	**Name**
	0500	Acapulco (Low[3])
	0501	Acapulco (High[1])
	0502	Acapulco (Nonseasonal[4])
	0527	Aguascalientes
	0600	Cabo San Lucas (Low[3])
	0601	Cabo San Lucas (High[1])
	0602	Cabo San Lucas (Nonseasonal[4])
	0700	Campece
	0750	Cancun
	0900	Chetumal
	1000	Chihuahua
	1050	Ciudad Del Carmen
	1150	Ciudad Juarez
	1155	Ciudad Obregon
	1160	Ciudad Victoria
	1200	Coatzacoalcos
	1230	Colima
	1250	Cozumel
	1260	Cuernavaca
	1261	Culiacan
	1265	Durango
	2500	Ensenada
	2900	Gomez Palacio (Dgo)
	3000	Guadalajara
	3050	Guanajuato
	3200	Guaymas
	3250	Hautalco
	3100	Hermosillo
	3700	Ixtapa Zihuatanejo (Low[3])
	3701	Ixtapa Zihuatanejo (High[1])
	3702	Ixtapa Zihuatanejo (Nonseasonal[4])
	4100	La Paz
	4125	Leon
	4130	Lerdo (Dgo)
	4275	Loreto (B.C.S.)
	4200	Los Mochis
	4250	Manzanillo

5000	Matamoros
4260	Matehuala
5100	Mazatlan
5200	Merida
5150	Metapa
5250	Mexicali
5300	Mexico City, D.F.
5400	Monclova (NB)
5600	Monterrey
5630	Morelia
5700	Nogales
6100	Nuevo Laredo
6130	Oaxaca (OAX.)
5850	Piedras Negras
5800	Puerto Vallarta
5860	Queretaro
5865	Pueblo
6550	Saltillo
6560	San Carlos
6570	San Felipe
6580	San Jose Del Cabo (Low[3])
6581	San Jose Del Cabo (High[1])
6582	San Jose Del Cabo (Nonseasonal[4])
6600	San Luis Potosi
6700	San Luis R.C.
6629	San Miguel De Allend
7000	Tampico (TAMPS.)
6800	Tapachula
7200	Tijuana
7500	Torreon
7600	Tuxtla Gutierrez
7650	Veracruz
8050	Villahermosa
9000	Zacatecas
9999	Other

Micronesia

Micronesia

Numeric Country Code 596

Alpha Country Code MR

City Code	Name
1000	Chuuk Islands
1050	Kosrae
2000	Pohnpei Island
3000	Yap Islands
9999	Other

Moldova

Moldova

Numeric Country Code	597	
Alpha Country Code	MA	
	City Code	**Name**
	1000	Chisinau
	9999	Other

Monaco

Monaco

Numeric Country Code	607	
Alpha Country Code	MN	
	City Code	**Name**
	1000	Monaco (Low[3])
	1001	Monaco (High[1])
	1002	Monaco (Nonseasonal[4])
	9998	Other (High[1])
	9999	Other (Low[3])

Mongolia

Mongolia

Numeric Country Code	608	
Alpha Country Code	MG	
	City Code	**Name**
	1000	Ulaanbaatar
	9999	Other

Morocco

Morocco

Numeric Country Code	610	
Alpha Country Code	MO	
	City Code	**Name**
	2000	Agadir
	2500	Beni Mellal
	3000	Casablanca
	3400	El Jadida
	3420	Errachidia
	3460	Essaoviro
	3500	Fes
	3600	Infrane
	4000	Marrakech
	4120	Meknes
	4180	Mohammedia
	4300	Ouarzazate
	4350	Oujada

5500	Rabat
5600	Sale
6000	Tangier (Low[3])
6001	Tangier (High[1])
6002	Tangier (Nonseasonal[4])
6020	Taroudant
6100	Tetouan
6300	Tiznit
9999	Other

Mozambique

Mozambique

Numeric Country Code 615

Alpha Country Code MZ

City Code	Name
1000	Maputo

Mozambique

City Code	Name
9999	Other

N

Nambia

Nambia

Numeric Country Code 821

Alpha Country Code WA

City Code	Name
0500	Estosha
0800	Swakopmund
1000	Windhoek
9999	Other

Naruru

Nauru

Numeric Country Code 621

Alpha Country Code NR

City Code	Name
1000	Nauru
9999	Other

Nepal

Nepal

Numeric Country Code 625

Alpha Country Code NP

City Code	Name
4000	Kathmandu
5000	Lumbini

6000	Pokhara
9999	Other

Netherlands

Netherlands

Numeric Country Code 630

Alpha Country Code NL

City Code	Name
0900	Almelo (Overijssel)
1000	Amsterdam
1150	Bergen Op Zoom (N.bra)
1770	De Bilt (Utrecht)
1960	Doorn (Utrecht)
2015	Geleen (Limburg)
2060	Haarlem (Noord Hol)
2075	Hague,The
2127	Harde (Gelderland)
2175	Havelterberg (Drenthe)
2200	Leeuwarden (Friesland)
4000	Leiden
4005	Lisse
6000	Maastricht
6050	Noordwijk
6100	Papendrecht
6850	Roosendaal (N.Brabant)
7000	Rotterdam
7010	Sassenheim (Noord Hol)
7100	Schiphol
7500	Soesterberg (Utrecht)
8100	Utrecht
8200	Ypenburg
9030	Zeist (Utrecht)
9999	Other

Netherlands Antilles

Netherlands Antilles

Numeric Country Code 640

Alpha Country Code NT

City Code	Name
1000	Aruba (Low[3])
1001	Aruba (High[1])
2000	Bonaire (Low[3])
2001	Bonaire (High[1])
3000	Curacao (Low[3])
3001	Curacao (High[1])
6000	Saba (Low[3])

6001	Saba (High[1])
5400	Sint Maarten (Dutch Part) (Low[3])
5401	Sint Maarten (Dutch Part) (High[1])
9998	Other (High[1])
9999	Other (Low[3])

New Caledonia

New Caledonia

Numeric Country Code 645

Alpha Country Code NC

City Code	Name
1000	New Caledonia
9999	Other

New Zealand

New Zealand

Numeric Country Code 660

Alpha Country Code NZ

City Code	Name
1000	Auckland
2000	Christchurch
8000	Queenstown
8500	Rotarua
9500	Wellington
9999	Other

Nicaragua

Nicaragua

Numeric Country Code 665

Alpha Country Code NU

City Code	Name
7000	Managua
8000	Matagalpa
9999	Other

Niger

Niger

Numeric Country Code 667

Alpha Country Code NG

City Code	Name
1000	Agadez
1500	Ayorou
2000	Maradi
6000	Niamey
9999	Other

Nigeria

Nigeria

Numeric Country Code	670	
Alpha Country Code	NI	
	City Code	**Name**
	1000	Abuja
	3000	Ibadan
	4000	Kaduna
	4050	Kano
	5000	Lagos
	9999	Other

Niue

Niue

Numeric Country Code	672	
Alpha Country Code	NE	
	City Code	**Name**
	1000	Niue
	9999	Other

Norway

Norway

Numeric Country Code	685	
Alpha Country Code	NO	
	City Code	**Name**
	1000	Oslo
	2000	Tromso
	3000	Stavanger (High[1])
	3001	Stavanger (Low[3])
	3002	Stavanger (Nonseasonal[4])
	9999	Other

O

Oman

Oman

Numeric Country Code	616	
Alpha Country Code	MU	
	City Code	**Name**
	3000	Muscat
	3075	Salalah
	9999	Other

Other Foreign Localities

Other Foreign Localities

Numeric Country Code	999
Alpha Country Code	FO

City Code	Name
9999	Other Foreign Localities

P

Pakistan

Pakistan

Numeric Country Code	700
Alpha Country Code	PK

City Code	Name
3100	Faisalabad
3300	Islamabad
4000	Karachi
5000	Lahore
7000	Peshawar
7800	Quetta
8000	Rawalpindi
9999	Other

Palau, Republic Of

Palau, Republic Of

Numeric Country Code	705
Alpha Country Code	PS

City Code	Name
1000	Koror
9999	Other

Panama

Panama

Numeric Country Code	710
Alpha Country Code	PM

City Code	Name
1275	Boquete
1400	Canal Area (Pre Treat)
2550	Colon
2000	Contadora (High[1])
2001	Contadora (Low[3])
2575	Contadora
4050	David
8050	Panama City
9000	Santiago, Veraguas
9700	Volcan
9999	Other

Papua New Guinea

Papua New Guinea

Numeric Country Code	712

Alpha Country Code PP

City Code	Name
1000	Port Moresby
9999	Other

Paraguay

Paraguay

Numeric Country Code 715

Alpha Country Code PA

City Code	Name
1000	Asuncion
2000	Ciudad Del Este
2900	Encarnacion
7500	San Bernardino
9999	Other

Peru

Peru

Numeric Country Code 720

Alpha Country Code PE

City Code	Name
2000	Cuzco
5000	Lima
5700	Paracus
5900	Pisco
5800	Piura
7500	Puno
8500	Tingo Maria
8501	Tingo Maria
9999	Other

Phillippines

Phillippines

Numeric Country Code 725

Alpha Country Code RP

City Code	Name
0300	Angeles City
0100	Bacolod
0400	Baguio City
0500	Cavite
2000	Cebu
2300	Dapitan
2400	Davao City
2600	Dipolog City
2650	Dumaguete City
2500	Laoag

3800	Manila
4403	Palawan
5000	Subic Bay
5200	Tacloban City
5300	Tagbilaran
9999	Other

Poland

Poland

Numeric Country Code 730

Alpha Country Code PL

City Code	Name
5000	Krakow
6000	Poznan
7000	Szezecin
9000	Warsaw
8000	Wroclaw (Low[3])
8001	Wroclaw (High[1])
8002	Wroclaw (Nonseasonal[4])
9999	Other

Portugal

Portugal

Numeric Country Code 735

Alpha Country Code PO

City Code	Name
0200	Caschis (Nonseasonal[4])
0250	Caschis (High[1])
0251	Caschis (Low[3])
0500	Estoril (Nonseasonal[4])
0550	Estoril (High[1])
0551	Estoril (Low[3])
0600	Faial Island (High[1])
0650	Faial Island (Low[3])
1000	Lisbon
1600	Madeira Islands
2000	Oeiras (Nonseasonal[4])
2050	Oeiras (High[1])
2051	Oeiras (Low[3])
1500	Oporto
1550	Oporto (High[1])
1551	Oporto (Low[3])

Portugal

City Code	Name
3000	Ponta Delgada (High[1])

3050	Ponta Delgada (Low[3])
5000	Sao Miguel Island (High[1])
5050	Sao Miguel Island (Low[3])
9999	Other

Q

Qutar

Qutar

Numeric Country Code 747

Alpha Country Code QA

City Code	Name
1000	Doha
9999	Other

R

Reunion

Reunion

Numeric Country Code 750

Alpha Country Code RE

City Code	Name
1000	Reunion
9999	Other

Romania

Romania

Numeric Country Code 755

Alpha Country Code RO

City Code	Name
1000	Bucharest
9999	Other

Russia

Russia

Numeric Country Code 756

Alpha Country Code RS

City Code	Name
1000	Moscow
2000	Saint Petersburg
3000	Vladivostok
9999	Other

Rwanda

Rwanda

Numeric Country Code 758

Alpha Country Code RW

City Code	Name

	6000	Kigali
Rwanda		
	City Code	**Name**
	9999	Other

S

St. Helena

St. Helena		
Numeric Country Code	765	
Alpha Country Code	SH	
	City Code	**Name**
	1000	Saint Helena
	9999	Other

Saint Kitts and Nevis

Saint Kitts and Nevis		
Numeric Country Code	766	
Alpha Country Code	SC	
	City Code	**Name**
	9998	Saint Kitts and Nevis (High[1])
	9999	Saint Kitts and Nevis (Low[3])

St. Lucia

St. Lucia		
Numeric Country Code	770	
Alpha Country Code	ST	
	City Code	**Name**
	9998	Saint Lucia (High[1])
	9999	Saint Lucia (Low[3])

St. Vincent and The Grenadines

St. Vincent and The Grenadines		
Numeric Country Code	775	
Alpha Country Code	VC	
	City Code	**Name**
	9998	Saint Vincent and The Grenadines (High[1])
	9999	Saint Vincent and The Grenadines (Low[3])

Samoa

Samoa		
Numeric Country Code	776	
Alpha Country Code	SO	
	City Code	**Name**
	1000	Samoa

San Marino

San Marino

Numeric Country Code	782	
Alpha Country Code	SM	
	City Code	**Name**
	9999	San Marino

Sao Tome and Principe

Sao Tome and Principe

Numeric Country Code	783	
Alpha Country Code	TP	
	City Code	**Name**
	9999	Sao Tome and Principe

Saudi Arabia

Saudi Arabia

Numeric Country Code	785	
Alpha Country Code	SA	
	City Code	**Name**
	2000	Dhahran
	3000	Jeddah
	7000	Riyadh
	9999	Other

Senegal

Senegal

Numeric Country Code	787	
Alpha Country Code	SG	
	City Code	**Name**
	2000	Dakar
	3000	Kaolack
	4000	Kolda
	5000	St Louis
	6000	Tambacounda
	9000	Ziguinchor
	9999	Other

Serbia-Montenegro

Serbia-Montenegro

Numeric Country Code	789	
Alpha Country Code	SR	
	City Code	**Name**
	1000	Belgrade
	4000	Podgorica
	5000	Pristina
	9999	Other

Seychelles

Seychelles

Numeric Country Code	788		
Alpha Country Code	SE		
	City Code	**Name**	
	1000	Seychelles	
	9999	Other	

Sierra Leone

Sierra Leone

Numeric Country Code	790		
Alpha Country Code	SL		
	City Code	**Name**	
	1000	Freetown	
	9999	Other	

Singapore

Singapore

Numeric Country Code	795		
Alpha Country Code	SN		
	City Code	**Name**	
	1000	Singapore	
	9999	Other	

Slovakia

Slovakia

Numeric Country Code	796		
Alpha Country Code	SL		
	City Code	**Name**	
	1000	Bratislava	
	9999	Other	

Slovenia

Slovenia

Numeric Country Code	797		
Alpha Country Code	SN		
	City Code	**Name**	
	1000	Ljubljana	
	9999	Other	

Solomon Islands

Solomon Islands

Numeric Country Code	229		
Alpha Country Code	BP		
	City Code	**Name**	

1000	Solomon Islands
9999	Other

Somalia

Somalia

Numeric Country Code	800
Alpha Country Code	SO

City Code	Name
3000	Hargeisa
4575	Mogadishu
9999	Other

South Africa

South Africa

Numeric Country Code	801
Alpha Country Code	SF

City Code	Name
2000	Cape Town (Low[3])
2001	Cape Town (High[1])
2003	Cape Town (Nonseasonal[4])
3000	Durban
4000	East London
5000	Johannesburg
6000	Port Elizabeth
7500	Pretoria
7000	Stellenbosch
7600	Sun City
9999	Other

Spain

Spain

Numeric Country Code	830
Alpha Country Code	SP

City Code	Name
0050	Almeria
1000	Barcelona
1200	Balearic Islands
1400	Bilbao (Low[3])
1401	Bilbao (High[1])
1450	Bilbao (Nonseasonal[4])
1500	Burgos
1600	Cadiz
2000	Cadiz (Cadiz) (High[1])
2001	Cadiz (Cadiz) (Low[3])
2500	Castellon Dela Plana

1650	Cordoba
2575	Fuengirola
2580	Gerona
2600	Getafe
2700	Granada
2750	Huelva
3000	Jerez De La Frontera
4000	La Coruna
4750	Leon
4500	Lerida
4600	Logrono (Low[3])
4601	Logrono (High[1])
4650	Logrono (Nonseasonal[4])
5000	Madrid
5100	Malaga
5150	Marbella
5200	Murcia
5205	Oviedo (Low[3])
5206	Oviedo (High[1])
5207	Oviedo (Nonseasonal[4])
5210	Pamplona (Low[3])
5211	Pamplona (High[1])
5300	Puerto De Santa Maria (Nonseasonal[4])
6000	Puerto De Santa Maria (Low[3])
6001	Puerto De Santa Maria (High[1])
6200	Rota
6300	Rota (Cadiz) (Low[3])
6350	Rota (Cadiz) (High[1])
6800	San Sebastian (Low[3])
6801	San Sebastian (High[1])
6850	San Sebastian (Nonseasonal[4])
6500	Santander (Low[3])
6501	Santander (High[1])
6550	Santander (Nonseasonal[4])
6900	Santiago De Composte
7000	Seville
7500	Tarragona
7600	Torrejon Ab
7550	Torremolinos
8000	Valencia
8740	Vigo
8750	Vitoria
9000	Zaragoza
9999	Other

Sri Lanka

Sri Lanka

Numeric Country Code	272	
Alpha Country Code	CE	
	City Code	**Name**
	1000	Ahungalla
	1050	Bentota
	2000	Colombo
	3000	Galle
	4000	Habarana
	9999	Other

Sudan

Sudan

Numeric Country Code	835	
Alpha Country Code	SU	
	City Code	**Name**
	4000	Khartoum
	9999	Other

Suriname

Suriname

Numeric Country Code	840	
Alpha Country Code	NS	
	City Code	**Name**
	1000	Paramaribo
	9999	Other

Swaziland

Swaziland

Numeric Country Code	847	
Alpha Country Code	WZ	
	City Code	**Name**
	1000	Mbabane
	9999	Other

Sweden

Sweden

Numeric Country Code	850	
Alpha Country Code	SW	
	City Code	**Name**
	1000	Goteborg
	2000	Karlstad
	8000	Stockholm
	9999	Other

Switzerland

Switzerland

Numeric Country Code	855	
Alpha Country Code	SZ	
	City Code	**Name**
	2200	Basel
	2400	Baden
	2300	Bern
	2450	Davos (Nonseasonal[4])
	2451	Davos (Low[3])
	2452	Davos (High[1])
	2500	Erlenbach
	3500	Geneva
	3600	Klosters (Nonseasonal[4])
	3601	Klosters (Low[3])
	3602	Klosters (High[1])
	2600	Kusnacht
	2630	Lugano
	2650	Montreux (Nonseasonal[4])
	2651	Montreux (Low[3])
	2652	Montreux (High[1])
	2700	Rapperswil
	9700	Zurich
	9999	Other

Syria

Syria

Numeric Country Code	858	
Alpha Country Code	SY	
	City Code	**Name**
	4000	Damascus (Low[3])
	4001	Damascus (High[1])
	4002	Damascus (Nonseasonal[4])
	6000	Lattakia
	7000	Palmyra
	9997	Other (Nonseasonal[4])
	9998	Other (High[1])
	9999	Other (Low[3])

T

Taiwan

Taiwan

Numeric Country Code	281	
Alpha Country Code	TW	
	City Code	**Name**

4000	Kaohsiung
5000	Taichung
7000	Tainan
6000	Taipei
9999	Other

Tajikistan

Tajikistan

Numeric Country Code 282

Alpha Country Code TI

City Code	Name
1000	Dushanbe
9999	Other

Tanzania, United Rep of

Tanzania, United Rep of

Numeric Country Code 865

Alpha Country Code TZ

City Code	Name
0700	Arusha
2000	Dar Es Salaam
9000	Zanzibar
9999	Other

Thailand

Thailand

Numeric Country Code 875

Alpha Country Code TH

City Code	Name
2000	Bangkok
2200	Cha-Am
2500	Chiang Mai
2470	Chiang Rai
2528	Chumphon
2540	Haadyai
2550	Hua Hin
3000	Jomtien
3100	Khon Kaen
3500	Lampang
3600	Nakhon Ratchasima
3700	Nong Khai
6120	Pattaya
6155	Phet Buri
6250	Phuket
6255	Prachuap Khiri Khan
6260	Pran Buri

6300	Ranong
6350	Samui Island
7930	Sattahip
9999	Other

The Former Yugoslav Republic of Macedonia

The Former Yugoslav Republic of Macedonia

Numeric Country Code 876

Alpha Country Code YO

City Code	Name
1000	Shopje
9999	Other

Togo

Togo

Numeric Country Code 883

Alpha Country Code TO

City Code	Name
3000	Lama Kara
4000	Lome
9999	Other

Tokelau Islands

Tokelau Islands

Numeric Country Code 884

Alpha Country Code TL

City Code	Name
1000	Tokelau Islands

Tongo

Tongo

Numeric Country Code 886

Alpha Country Code TN

City Code	Name
1000	Nukualofa
9999	Other

Trinidad and Tobago

Trinidad and Tobago

Numeric Country Code 887

Alpha Country Code TD

City Code	Name
3000	Port Of Spain
1000	Tobago
1050	Tobago (High[1])
1051	Tobago (Low[3])

2000	Trinidad
9999	Other

Tunisia

Tunisia

Numeric Country Code	890	
Alpha Country Code	TS	
	City Code	**Name**
	1000	Bizerte (Low[3])
	1001	Bizerte (High[1])
	1050	Bizerte (Nonseasonal[4])
	3000	Carthage
	4450	Gammarth
	4460	Hammamet
	4500	Jerba
	5500	Lamarsa
	6000	Monastir (Low[3])
	6001	Monastir (High[1])
	6700	Nefta
	6925	Sfax
	6975	Sidi Bou Said
	7000	Sousse (Low[3])
	7001	Sousse (High[1])
	7500	Tozeur (Low[3])
	7501	Tozeur (High[1])
	7550	Tozeur (Nonseasonal[4])
	8000	Tunis
	9999	Other

Turkey

Turkey

Numeric Country Code	905	
Alpha Country Code	TU	
	City Code	**Name**
	0500	Abant
	1000	Adana-Incirlik
	1400	Alanya
	1500	Ankara
	1550	Antalya
	1580	Aydin
	1685	Bodrum
	1683	Bolu
	1700	Bursa
	1800	Camakli
	2500	Denizli

3000	Diyarbakir
3651	Elmadag
3650	Eskisehir
3700	Fethiye
3900	Goreme
4600	Istanbul
4955	Izmir-Cigli
5500	Konya
5550	Kusadasi
5775	Manavgat
5810	Manzarali
5800	Marmaris
6000	Mersin
6150	Nevsehir
6550	Pamukkale
7035	Silifke
8000	Yamanlar
7150	Tasucu
9999	Other

Turkmenistan

Turkmenistan

Numeric Country Code TK

Alpha Country Code 907

City Code	Name
1000	Ashgabat
9999	Other

Turks and Caicos

Turks and Caicos

Numeric Country Code 906

Alpha Country Code TK

City Code	Name
3000	Providenciales Island (Low[3])
3001	Providenciales Island (High[1])
6000	Turks and Caicos Islands
9998	Other (Low[3])
9999	Other (High[1])

Tuvalu

Tuvalu

Numeric Country Code 908

Alpha Country Code TV

City Code	Name
1000	Tuvalu

U

Uganda

Uganda

Numeric Country Code	910	
Alpha Country Code	UG	
	City Code	**Name**
	2000	Entebbe
	5000	Kampala
	6500	Mbarara
	9999	Other

Ukraine

Ukraine

Numeric Country Code	825	
Alpha Country Code	UP	
	City Code	**Name**
	1000	Kiev
	9999	Other

United Arab Emirates

United Arab Emirates

Numeric Country Code	888	
Alpha Country Code	TC	
	City Code	**Name**
	1000	Abu Dhabi
	2000	Dubai
	9999	Other

United Kingdom

United Kingdom

Numeric Country Code	925	
Alpha Country Code	UK	
	City Code	**Name**
	0175	Aberdeen

United Kingdom

	City Code	**Name**
	0250	Alveston (Avon)
	0317	Banbury (Oxon)
	0330	Barrow-In-Furness
	0335	Basildon
	0334	Basingstoke (Hants)
	0340	Bath (Avon)
	0342	Beaconsfield (Bucks)
	0343	Beadlow (Beds)
	0345	Beaulieu (Hants)
	0400	Belfast

0800	Birmingham (W Midland)
0500	Blackpool
0550	Bournemouth
0975	Bracknell (Berks)
0600	Brighton
1030	Bristol (Avon)
1700	Burnley (Lancs)
1825	Bury St Edmonds (Suff)
2000	Cambridge (Cambs)
2500	Canterbury
2200	Cardiff, Wales
2400	Caversham (Berks)
2550	Chatham (Kent)
2600	Chepstow (Wales)
2650	Chichester
3200	Coventry (W.Mid)
3350	Crawley (West Sussex)
3400	Dover
3435	Dumbarton (Scotland)
3485	Dunstable (Bedford)
3596	East Horsley (Surrey)
3800	Edinburgh
3900	Ft. Halstead
4175	Gatwick Intl Airport

United Kingdom

City Code	Name
4300	Gerrard's Cross (Buck)
4200	Glasgow
4500	Grenham Common
4550	Harrogate
4586	Henley (Berks)
4600	High Wycombe (Bucks)
4630	Horley (Surrey)
4660	Hungerford (Berks)
4673	Hythe (Hants)
4680	Inverness
4810	Leeds (West Yorks)
4900	Letchworth (Herts)
5000	Liverpool
5600	London
4800	Loudwater
5632	Lyndhurst (Hants)
5740	Maidenhead (Berks)
5790	Malmesbury (Wilts)
6000	Manchester
6270	Melton (Suffolk)

6300	Menwith Hill
6701	Newbury (Berks)
6800	Newmarket (Suffolk)
6836	Northern Ireland
7000	Nottingham (Notts.)
8000	Oxford, Oxfordshire
6920	Pangbourne (Berks)
6965	Peterborough (Cambs)
8100	Plymouth
6990	Poole (Dorset)
7100	Portsmouth (Hants)
7350	Reading (Berks)
7425	Rochester (Kent)
7500	Royston (Herts)

United Kingdom

City Code	Name
7480	Saffron Waldon (Essex)
7510	Salisbury (Wilts)
7600	Sevenoaks (Kent)
7700	Shetland (Scotland)
8350	Sonning (Berks)
8400	Southhampton (Hants)
8855	Stratford-Upon (Avon)
8911	Swindon (Wilts)
8920	Tetbury (Glos)
9000	Troon (Scotland)
9100	Turnberry (Scotland)
9150	Warrington (Ches)
9300	Welford
9175	Widnes (Ches)
9340	Wilton (Wilts)
9350	Winchester
9200	Windsor (Berks)
9650	Wokingham (Berks)
9250	Woodbridge (Suffolk)
9760	York (North Yorks)
9999	Other

Uraguay

Uraguay

Numeric Country Code 930

Alpha Country Code UY

City Code	Name
6000	Montevideo
6500	Punta Del Este (Low[3])
6501	Punta Del Este (High[1])

	9999	Other

Uzbekistan

Uzbekistan

Numeric Country Code	960	
Alpha Country Code	UZ	
	City Code	**Name**
	1000	Tashkent
	9999	Other

V

Vanuatu

Vanuatu

Numeric Country Code	651	
Alpha Country Code	NH	
	City Code	**Name**
	4000	Port Vila
	7000	Santos
	7500	Tanna Is
	9999	Other

Venezuela

Venezuela

Numeric Country Code	940	
Alpha Country Code	VE	
	City Code	**Name**
	3000	Caracas
	3015	Ciudad Guayana
	5000	La Guaira
	6000	Maracaibo
	9000	Valencia
	9999	Other

Vietnam

Vietnam

Numeric Country Code	945	
Alpha Country Code	VM	
	City Code	**Name**
	0200	Dalat
	0300	Danang
	1000	Hanoi
	1050	Ho Chi Minh City

Vietnam

	City Code	**Name**
	9999	Other

W

Wallis and Futuna

Wallis and Futuna

Numeric Country Code	950
Alpha Country Code	WF

City Code	Name
1000	Wallis and Futuna
9999	Other

Western Samoa

Western Samoa

Numeric Country Code	963
Alpha Country Code	WS

City Code	Name
1000	Western Samoa
9999	Other

Y

Yemen

Yemen

Numeric Country Code	965
Alpha Country Code	YM

City Code	Name
1000	Aden
2000	Hodeida
4000	Sanaa
9999	Other

Yugoslavia

Yugoslavia

Numeric Country Code	970
Alpha Country Code	YO

City Code	Name
1000	Belgrade
1050	Bled (Nonseasonal[4])
1080	Bled (Low[3])
1081	Bled (High[1])
1075	Brela
1500	Cavtat (Low[3])
1501	Cavtat (High[1])
2000	Dubrovnik (Low[3])
2001	Dubrovnik (High[1])
2700	Grad Podvin
5000	Ljubljana
6200	Opatija
6800	Otocec

	6700	Podgorica
	8000	Sarajevo
	8500	Skopje
	8010	Split
Yugoslavia		
	City Code	**Name**
	9000	Zagreb
	9999	Other

Z

Zaire

Zaire

Numeric Country Code		
Alpha Country Code	ZA	
	City Code	**Name**
	2000	Bukavu
	3000	Goma
	5000	Kinshasa
	6000	Lubumbashi
	5050	Mbuji Mayi, Kasai
	9999	Other

Zambia

Zambia

Numeric Country Code	990	
Alpha Country Code	ZA	
	City Code	**Name**
	2000	Chingola (Nonseasonal[4])
	3000	Kabwe
	5000	Kitwe
	5500	Livingstone
	4000	Lower Zambezi (High[1])
	4050	Lower Zambezi (Low[3])
	6000	Lusaka
	7000	Mfuwe (High[1])
	7050	Mfuwe (Low[3])
	7800	Ndola
	8000	Siavonga
	9999	Other

Zimbabwe

Zimbabwe

Numeric Country Code	818	
Alpha Country Code	ZI	
	City Code	**Name**
	2000	Bulawayo

8000	Harare
8100	Nyanga
9000	Victoria Falls
9999	Other