

FSD ADMINISTRATION MANUAL

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FINANCIAL SERVICES DIVISION OFFICE MANUAL



The mission of the Financial Services Division (FSD), United States Marshals Service(USMS), is to serve as the responsible office for developing, managing and enforcing the financial and management practices within the agency. The FSD is specifically responsible for Agency budget formulation and execution, financial and accounting services, financial systems management and oversight, preparation of the USMS financial statements, audit coordination, procurement activities, and strategic and performance planning related to financial management.

Index

1. *Purpose* – The purpose of this manual is to inform staff and relay administrative processes to managers, supervisors and employees within the Financial Services Division (FSD).
2. *Applicability/Scope* – The processes and procedures set forth in this manual are to be followed as provided and required.
3. *Summary of Procedure* – The FSD Administration and Orientation Standard Operating Procedure (SOP) describes a number of processes specific to FSD operations. Managers are to review the guide and become acclimated to the processes provided. If further clarification is needed, please contact the Administration Officer (AO).
4. *Personnel Qualifications* – Managers, supervisors and employees are not required to possess any personnel qualifications/responsibilities to utilize this guide other than having the ability to interpret and apply processes and procedures.
5. *Criteria* – There are some areas within these procedures that require specific forms and checklists for completion. The forms and checklists are identified and can be obtained from the AO.
6. *Reference Section* – The following is a listing and links, where applicable, of references noted in this SOP. See examples provided below.
 - 6.1 U.S. Office of Personnel Management, Data, Analysis and Documentation, <http://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/#url=Processing-Personnel-Actions>
 - 6.2 Code of Regulations, <http://www.gpo.gov/fdsys/>

6.3 FY 2017 Electronic Self-Assessment Guide (eSAG),
http://intranet.usms.doj.gov/sites/ESAG/2017/Lists/HQ_FSD/AllItems.aspx

6.4 Department of Justice, Human Resources guides, etc.,
<http://www.justice.gov/jmd/hr/memo-sguidance.html>

Table of Contents

1. NEW EMPLOYEES.....	9
1.1 Onboarding Procedures	9
1.2 New Employee Orientation.....	10
1.3 PIV Card.....	10
1.4 Government Furnished Equipment	10
1.5 Travel Card.....	10
1.6 Procurement Government Commercial Purchase Card	11
1.7 Employee Outside Employment.....	11
1.8 FSD Information Technology	11
1.8.1 Computer Access	11
1.8.2 iPhones.....	12
2. HUMAN RESOURCES	13
2.1 Performance Work Plans.....	13
2.2 Federal Benefits	16
2.2.1 Leave	16
2.2.2 Sick Leave Entitlement.....	16
2.2.3 Sick Leave Accumulation.....	16
2.2.4 Advanced Sick Leave	17
2.2.5 Sick Leave Usage Limits per Leave Year	17
2.2.6 Family and Medical Leave Act	17
2.2.7 Annual Leave Entitlement	18
2.2.8 “Use or Lose” Annual Leave.....	18
2.2.9 Disabled Veterans Leave	19
2.2.10 Federal Employee Health Benefits (FEHB).....	19
2.2.11 Federal Employees’ Group Life Insurance.....	20
2.2.12 BENEFEDS	20
2.2.13 Federal Employees’ Dental and Vision Insurance Program.....	20
2.2.14 Seasonal Flu Shots.....	21
2.2.15 Federal Flexible Spending Account Program (FSAFEDS).....	21

2.2.16 Thrift Savings Plan 21

2.2.17 GovDelivery 22

2.3 Position Description..... 23

2.3.1 PD Review 23

2.3.2 PD Development..... 23

2.3.3 Maintenance..... 23

2.3.4 PD Approving Official 23

2.4 Within- Grade Increase 24

2.4.1 Requirements 24

2.4.2 Earning Within-Grade Increases 24

2.4.3 General Schedule 24

2.4.4 Wage Grade 25

2.4.5 Denial of Within-Grade Increase..... 25

2.5 FSD Web-TA..... 26

2.5.1 Employee Validation 26

2.5.2 Supervisor Certification..... 26

2.5.3 Roles and Responsibilities..... 26

2.5.4 Employees 27

2.5.5 Supervisors 27

2.5.6 Timekeepers..... 27

2.5.7 Reports..... 27

2.6 Promotion..... 28

2.6.1 Coverage 28

2.6.2 Processing Promotions 28

2.7 Personnel Security 29

2.7.1 Personnel Security Processing..... 29

2.7.2 Reinvestigations..... 29

2.7.3 Requirements 29

2.7.4 e-Qip 30

2.7.5 Fingerprints..... 30

2.7.6 Notification..... 30

2.7.7	Clearance Results	30
2.7.8	Final Clearance Determinations	30
2.8	Telework	31
2.8.1	Telework Types	31
2.8.2	Telework Eligibility.....	31
2.8.3	FSD Telework Application Process	31
2.8.4	Equipment and Security for Telework Use	32
2.8.5	Unscheduled Leave or Unscheduled Telework	32
2.9	Alternative Work Schedules (AWS).....	33
2.9.1	Basic Work Requirement.....	33
2.9.2	Types of AWS	33
2.9.3	Procedures	33
2.10	Employment Verification.....	34
2.11	Retirement.....	34
2.11.1	Retirement Request.....	34
2.10.2	Retirement Letter and Certificate	34
2.12	Separation Checklist.....	34
3.	PROCESSES AND PROCEDURES	36
3.1	Government/Contractor Protocol	36
3.2	Lost or Stolen PIV Card	37
3.3	Parking Benefits (ADD POLICY)	37
3.4	Employee Transit Program.....	37
3.5	Computer/Electronic Accommodations Program (ADD POLICY).....	38
3.6	Ceremonial and Promotional Items (“Trinkets”)	38
3.7	Training.....	38
3.7.1	Training Requests	39
3.7.2	Annual Training Requirements	39
3.7.3	LearnUSMS	39
3.7.4	LearnUSMS User ID and Password	39
3.7.5	UFMS Training Process	39

3.7.6	Reserving Conference Rooms	41
3.8	FSD Travel.....	42
3.8.1	Employee Official Travel.....	42
3.8.2	Travel Lodging Rates	42
3.9	Undelivered Orders/Open Obligations Reviews (UDO/OOR).....	44
3.10	Procurement	45
3.11	Audits	46
3.11.1	UFMS Training.....	47
3.12	Property Accountability.....	48
3.12.1	Property Accountability Chain of Command	48
3.12.2	Hand Receipt Procedures.....	49
3.12.3	Issue and Return of Personal Property Procedures.....	49
3.12.4	Repair and Return of Accountable Property.....	50
3.12.5	Annual Inventory.....	50
3.13	Official Government Records	51
3.13.1	Records Manager.....	51
4.	COLLATERAL DUTIES.....	52
4.1	Safety Officer	52
4.2	Public Affairs Officer (PAO).....	52
4.3	Equal Employment Opportunity (EEO) Liason	53
4.4	Human Resources Liaison.....	53
4.5	Property Custodian and Property Officer.....	53
4.6	Continuity of Operations Plan (COOP) Coordinator	53
5.	Appendix	54
5.1	New Employee Tools.....	54
5.2	Administrative Tools.....	54
5.3	Policy Directives	55
5.4	FSD Organization Chart.....	56
5.5	Memo Request to CFO for Above GSA	57

1. NEW EMPLOYEES

As staff members at the United States Marshals Service (USMS), we want to do everything that we can to ensure that new employees experience a smooth transition into their new position. In order to make this possible, there are a number of considerations to be made before and after the employee enters on duty. The information provided in this chapter identifies those matters and the steps taken to achieve completion and success in those areas.

The Financial Services Division (FSD) is led by the Assistant Director (AD). She has another title, which is used more frequently: Chief Financial Officer (CFO), United States Marshals Service. FSD's Deputy Chief Financial Officer (DCFO) is also the Deputy Assistant Director (DAD). An Administrative Officer (AO) supports the whole division in administrative matters. For budget and financial matters, the division is divided into the following sections: Budget Formulation; Budget Execution; Office of Procurement; Office of Finance; and Financial Systems Support. These offices are located at Headquarters, USMS. FSD also has a field office at the Austin Processing Center, Austin, Texas which provides direct support to the 94 USMS districts for designated finance and procurement functions. An FSD Organization Chart can be found in [Appendix 5.4](#).

1.1 Onboarding Procedures

- **Office Call**

Once a new employee has entered on duty, an office call (meet and greet) will be scheduled with the AD and/or DAD. The FSD AO will coordinate the scheduling of the office call. All office calls will be scheduled within 48 hours of any new assignment. The FSD AO serves as the designated FOIA/PA Liaison (**GENERAL MANAGEMENT-GM-01, SAG**).
- **Activate Telephone Lines and Computers**

Prior to the arrival of a new employee, the AO will coordinate the activation of telephone lines and computer setup with the Information Technology Division.
- **Time and Attendance Profiles**

The FSD timekeepers are responsible for creating and updating time and attendance profiles for new and existing employees. The AO will provide the appropriate timekeeper with the required information to create and/or update a profile for a new employee.
- **FSD Telephone Directory**

The AO will coordinate having the FSD telephone directory updated to include all new employees. The FSD telephone directory is stored in the <Y:\HOOPLA\General Information\FSD Telephone Directory>.

1.2 New Employee Orientation

All new employees are required to attend the new employee orientation provided by the [Human Resources Division](#) (HRD). This orientation normally takes place on the morning of the employee's first day at USMS, prior to the employee arriving at FSD. New employees will receive notification from HRD regarding the time and date for orientation (**HUMAN RESOURCES – 04, eSAG**).

1.3 PIV Card

New employees will receive a Personal Identity Verification (**PIV**) card or temporary government identification upon their first day of work. A PIV card is required for all U.S. Government employees and contractors to gain physical and logical access to government buildings.

HRD will prepare the [USM-394](#), PIV application so that employees have their PIV card available for their first day of work.

Immediately after orientation and when possible, the HRD will accompany new employees to obtain their identification card, prior to taking them to the AO.

1.4 Government Furnished Equipment

Federal Employees will be issued government furnished equipment (GFE), which may include computer, I-phone, desk telephones, and RSA token (to allow telework). This determination is made by the employee's supervisor.

All requests for GFE must be documented on the required paperwork and processed accordingly. Employees should see the AO for specific forms and/or additional information.

1.5 Travel Card

All Federal Employees will be issued a government travel credit card. Employees should fill out USM-350 and see the AO for additional information (see Appendix 5.1). The travel card should be used for all travel-related charges. Employees will only use the travel card for official government business (**FINANCIAL MANAGEMENT-09, eSAG**).

1.6 Government Commercial Purchase Card

Selected employees are chosen to have purchase cards. The Office of Procurement (OOP) runs the Purchase Card Program. OOP requires that all purchase card statement lines are reconciled by the last business day of the month and emails offices that did not comply with the monthly requirement until the action has been completed (**PROCUREMENT ADMINISTRATION-33, eSAG**). For more information, see [USMS Purchase Card Manual](#) (Appendix 5.1).

1.7 Employee Outside Employment

FSD employees desiring to work a second job away from USMS (“outside employment”) must obtain approval from their supervisor and process a request through HRD (**GENERAL MANAGEMENT, GM-03**). FSD ensures that employees who engage in outside employment:

- a. Submit a request for outside employment to be approved by the Office of General Council (OGC)
- b. Submit a copy to HRD to be included in the employee’s personal file
- c. Are provided with prior signed approval of the “Request for Outside Employment Activities”
- d. Maintain a copy within FSD.

For more info see [USMS Policy Directive 1.2 Outside Employment](#).

1.8 FSD Information Technology

The FSD Administrative Officer coordinates new employee network access and issues all computer property (**INFORMATION TECHNOLOGY-02, eSAG**).

1.8.1 Computer Access

FSD receives word about an arriving new federal employee from HRD. When a specific arrival date is known, the FSD AO contacts the incoming employee to welcome them and send them (if possible) a Rules of Behavior (ROB) to fill out and return. With this ROB, and a [USM-169](#) (Appendix 5.1), the AO can request access for the new employee to the USMS network, allowing the employee to access email, training, etc. The [USM-169](#) will also specify the employee’s room or cubicle number, and indicate to ITD if a telephone needs to be installed and activated. The goal is for the new employee to arrive and be able to communicate in his/her first day of work.

FSD receives word about an arriving new support contractor from the vendor, through the Contracting Officers Representative (COR). When a specific arrival date is known, the COR contacts the company and sends, through the company (if possible) a Rules of Behavior to fill out and return. With this ROB, and a [USM-169](#), the AO can request access for the new contractor to the USMS network, allowing the contractor to access email, training, etc. The [USM-169](#) will also specify the contractor's cubicle number, and indicate to ITD if a telephone needs to be installed and activated. The goal is for the new contractor to arrive and be able to communicate in his/her first day of work.

1.8.2 iPhones

Designated employees are issued iPhones based on mission requirements. The Property Officer issues the iPhones.

2. HUMAN RESOURCES

2.1 Performance Work Plans

A Performance Work Plan (PWP) is required for all employees. Managers should set performance expectations and goals for individuals to channel their efforts toward achieving organizational objectives. The PWP measures tasks, assignments, etc., to determine whether expectations and goals are being met. Supervisors must involve employees in the PWP planning process, which helps the employee understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done.

Managers must ensure that a PWP is in place for new employees within 14 days of their entrance on duty, and for existing employees on an annual basis. The performance period is one year, from October 1 – September 30. FSD ensures that those employees are under a PWP for a period of at least 90 calendar days before receiving a rating (**HUMAN RESOURCES – 10, eSAG**).

Performance management involves much more than just assigning ratings. It is a continuous cycle that involves:

- Planning work in advance so that expectations and goals can be set;
- Monitoring progress and performance continually;
- Developing the employee's ability to perform through training and work assignments;
- Rating periodically to summarize performance and,
- Rewarding good performance while correcting poor performance.

The following information is provided to assist supervisors with initiating and completing Performance Work Plans (PWP) for the annual appraisal process and constitutes a complete annual PWP. The USMS uses an automated system for PWP, using [USM-540](#), Performance Appraisals (**HUMAN RESOURCES – 09, eSAG**). This form is a share point-based form, and is initiated at the beginning of the rating cycle. The form differs, depending on whether the employee is supervisory or non-supervisory. “Elements” are used to categorize performance. Shown below are the elements used:

- There are three mandatory elements and a sub-element in the PWP for supervisors:

Accountability for Organizational Results;
Accountability for People/Workforce, mandatory sub-element Hiring Reform; and
Accountability for Taxpayer Value.

- For all non-supervisory employees, there are four mandatory elements:

Accountability for Organizational Results;
Accountability for Professional Responsibilities and Development; and
Accountability for Customer Service.

For each individual PWP element, indicate in Part IV, the employee's rating. Supervisors are required to check Exceeds the Standard, Meets the Standard or Does Not Meet the Standard for every Part IV of each element.

FSD ensures a PWP is issued within 30 days of the following dates:

The first day of the rating period;
The first day of a detail or temporary promotion expected to last 90 days or longer; and the first day of an employee's entrance on duty (HUMAN RESOURCES-12, eSAG).

At the beginning of the rating period, the rater should develop expectations for the employee. These goals are built in to the PWP, approved by the Reviewer, and then shown to the employee. This initial session sets goals and expectations for the rating period.

Mid-year Review

Supervisors are required to conduct a mid-year review with their employees. The purpose of the mid-year review is to provide employees with feedback on their performance during the first six months of the rating cycle. This process gives the employee an opportunity to address and/or improve in areas where performance is lacking. HRD will notify managers when mid-year reviews are to be completed.

Annual Review

A final record of an employee's performance is required annually. The rating is an evaluation of an employee's performance against the elements and standards in an employee's PWP. When preparing the final rating, managers should have all the necessary tools close at hand before starting to write the appraisal narrative, including:

- a copy of the employee's performance plan;
- a copy of the employee's position description (PD);
- notes of previous meetings with the employee (remember what was discussed with the employee during previous meetings);
- employee self-evaluation documents, which could include a list of completed projects and accomplishments prepared by the employee;
- written or recorded feedback on employee performance from other sources (these can include letters of appreciation, customer feedback, etc.); and

- Appraisal program instructions that describe the performance appraisal process and procedures.

At “end of year”, the rater summarizes employee performance by completing Part V of the PWP form. Ratings are issued as Outstanding, Exceptional, Successful and Unsuccessful. Unsuccessful ratings MUST be coordinated with the Reviewer and HRD prior to being considered as a final rating.

The Rater prepares the employee’s final PWP and sends it to the Reviewer for approval. Once the Reviewer approves, the Rater shares the PWP with the employee.

The process described above is automated, meaning that each step completed triggers, through share point, the PWP being routed to the next step. The “trigger” for each step is a e-signature from the Rater, Reviewer, or Employee.

2.2 Federal Benefits

Federal employees are entitled to a number of benefits provided by the Office of Personnel Management. An overview of these benefits is provided in this section.

2.2.1 Leave

Employees have a wide variety of leave-related benefits available to them to help balance their work and family obligations. Leave categories discussed in this chapter are: sick leave, annual leave, and use or lose leave.

Leave for these categories must be requested through webTA. All leave requests need to be scheduled and approved beforehand, if at all possible. For more detailed information on these and other types of leave, please see [USMS Policy Directive 3.24 Leave Administration](#) (Appendix 5.3).

2.2.2 Sick Leave Entitlement

Sick leave is a paid absence from duty. An employee is entitled to use sick leave for a variety of reasons including, but not limited to, the following:

- Is incapacitated due to physical or mental illness, pregnancy or childbirth;
- Is a disabled veteran undergoing a medical exam or treatment;
- Receives medical, dental or vision exams;
- Provides care for a family member;
- Makes arrangements for or attends the funeral of a family member;
- Has a contagious disease; and
- Must be absent for any reason relating to child adoption.

Sick Leave Accrual	
Description	Time
Full-time employees	4 hours for each biweekly pay period.
Part-time employees	1 hour for each 20 hours in a pay status.
Uncommon tours of duty	(4 hours) times (average # of hours per biweekly pay period) divided by 80 = biweekly accrual rate.

2.2.3 Sick Leave Accumulation

There is no limitation on the amount of sick leave that can be accumulated.

2.2.4 Advanced Sick Leave

Advanced sick leave is a privilege that may be extended to employees regardless of their annual leave balance. It is generally reserved for serious disability, illness, incapacitation, or confinement for and after childbirth. Most employees may be advanced up to 240 hours of sick leave for personal medical conditions. They may be advanced up to 40 hours of sick leave for family medical emergencies. Requests for advanced sick leave in FSD will be reviewed on a case by case basis.

Advanced sick leave requests must be submitted in writing and supported by medical documentation. Employees must submit advanced sick leave requests through their first- and second-line supervisors. If approved, management will forward the application to the EBR to ensure compliance with service policies. If the request is not approved, management will inform the employee (see Appendix 5.3 Leave Administration).

2.2.5 Sick Leave Usage Limits per Leave Year

Most employees may use up to 104 hours of sick leave each year for the following:

- To attend to a family member with an illness, injury or condition.
- For purposes relating to the death of a family member

For the purposes described above, full-time employees are entitled to use 40 hours of their accrued sick leave per year. If the employee has accrued less than 40 hours of sick leave, the 40 hours may be advanced by the employee's manager or supervisor. An additional 64 hours may be used by employees who maintain a sick leave balance of at least 80 hours. Federal employees may use up to 12 weeks, including the aforementioned 104 hours, to care for a family member with a serious health condition.

Employees are required to use sick leave available under this entitlement to care for a family member before becoming eligible for donated leave under the Voluntary Leave Sharing Programs.

2.2.6 Family and Medical Leave Act

Under the Family and Medical Leave Act of 1993 (FMLA), most Federal employees are entitled to a total of up to 12 workweeks of unpaid leave during any 12-month period for the following purposes:

- the birth of a son or daughter of the employee and the care of such son or daughter;
- the placement of a son or daughter with the employee for adoption or foster care;
- the care of spouse, son, daughter, or parent of the employee who has a serious health condition; or
- a serious health condition of the employee that makes the employee unable to perform the essential functions of his or her positions.

- any qualifying exigency arising out of the fact that the spouse, or a son, daughter, or parent of the employee is on covered active duty (or has been notified of an impending call or order to covered active duty) in the Armed Forces.

Under certain conditions, an employee may use the 12 weeks of FMLA leave intermittently. An employee may elect to substitute annual leave and/or sick leave, consistent with current laws and OPM's regulations for using annual and sick leave, for any unpaid leave under the FMLA. (The amount of sick leave that may be used to care for a family member is limited. See Sick Leave to Care for a Family Member with a Serious Health Condition.) FMLA leave is in addition to other paid time off available to an employee.

2.2.7 Annual Leave Entitlement

An employee may use annual leave for vacations, rest and relaxation, and personal business or emergencies. An employee has a right to take annual leave, subject to the right of the supervisor to schedule the time at which annual leave may be taken. An employee will receive a lump-sum payment for accumulated and accrued annual leave when he or she separates from Federal service or enters on active duty in the Armed Forces and elects to receive a lump-sum payment.

Accrual Rates			
Employee Type	<i>Less than 3 years of service*</i>	<i>3 years but less than 15 years of service*</i>	<i>15 or more years of service*</i>
Full-time employees	4 hours of annual leave for each full biweekly pay period or 13 days per leave year	6 hours of annual leave for each full biweekly pay period plus 4 hours for the last full biweekly pay period of the leave year	8 hours of annual leave for each full biweekly pay period or 26 days per leave year
Part-time employees	1 hour of annual leave for every 20 hours in a pay status	1 hour of annual leave for every 13 hours in a pay status	1 hour of annual leave for every 10 hours in a pay status

2.2.8 “Use or Lose” Annual Leave

“Use or Lose” annual leave is the excess amount of the employee’s applicable annual leave ceiling. Any accrued leave in excess of the ceiling will be forfeited if not used by the final

day of the leave year. Forfeited leave may be restored under 5 U.S.C. 6304(d); however USMS has very rigorous requirements for the approval of the restoration of forfeited leave.

2.2.9 Disabled Veterans Leave

Under the Wounded Warriors Federal Leave Act, new federal employees with a service-connected disability rating of 30 percent or greater will have access to up to 104 hours or 13 days of sick leave for medical treatment related to their disabilities during the first year of civilian employment. Effective November 5, 2016, this benefit is meant to help newly hired veterans who have not yet earned sick leave but need medical treatment for their service-connected disabilities.

Agencies must credit covered veterans with 104 hours of disabled veteran leave for a 12-month period beginning on their first date of employment. The new leave category will be available in web TA on or about November 5, 2016. Any leave not used during an employee's first year is forfeited.

Eligibility

- New Federal civilian employee, hired on or after November 5, 2016; and,
- Veterans with a service-connected disability rated 30% or more.

Request Procedures

- Up to 104 hours of disabled veteran leave must be used during the first 12 months of employment; and
- Submit certification issued by health care provider to Supervisor indicating that such leave requested is for purposes of receiving treatment for the service-connected disability.

2.2.10 Federal Employee Health Benefits (FEHB)

The open season for health, dental, and vision insurance and flexible spending accounts is usually held in November and December. Employees are notified of health fairs sponsored by the Department during open season.

The annual open season gives federal employees and retirees the opportunity to review their health plan choices and make changes for the following year. It also allows eligible employees to enroll for coverage. FEHB Program enrollees should review the benefits and premiums for their health plan choices and decide what coverage will best fit their healthcare needs in the coming year.

2.2.11 Federal Employees' Group Life Insurance

The Federal Employees' Group Life Insurance (FEGLI) Program is a life insurance program for Federal and Postal employees and annuitants, authorized by law (chapter 87 of title 5, United States Code). The Office of Personnel Management (OPM) administers the Program and sets the premiums. The FEGLI regulations are in title 5 of the Code of Federal Regulations, part 870. FEGLI is group term life insurance. It does not build up cash value. You cannot take a loan out against your FEGLI insurance. OPM has a contract with the Metropolitan Life Insurance Company (MetLife) to provide this life insurance. The MetLife has an office called OFEGLI (the Office of Federal Employees' Group Life Insurance). OFEGLI is the contractor that adjudicates claims under the FEGLI Program.

2.2.12 BENEFEDS

[BENEFEDS](#) is a new enrollment and payroll/billing administration system for voluntary benefits programs. Voluntary benefits are those in which there is no Government contribution, and include the Federal Long Term Care Insurance Program (FLTCIP) and the Federal Flexible Spending Account Program (FSAFEDS). You can only sign up for BENEFEDS during open enrollment or when you meet the requirements for a qualifying life event.

2.2.13 Dental and Vision Insurance Program

The new Federal Employees Dental and Vision Insurance Program (FEDVIP) became available in December 2006.

The Federal Employees Dental and Vision Insurance Program (FEDVIP) provide comprehensive dental and vision insurance at competitive group rates. There are seven dental plans and three vision plans from which to choose. FEDVIP features nationwide, international, and regional plans.

A dental or vision insurance plan is much like a health insurance plan; you may be required to meet a deductible and provide a copay or coinsurance payments for your dental or vision services. With any plan choice, you should look at all the information and find a plan that will best fit your needs. You should also review your FEHB plan brochure to determine what dental and/or vision coverage the FEHB plan provides. If you are currently enrolled in FEDVIP and you take no action during Open Season, your current coverage will continue from year to year, provided you remain eligible for the program. Enrollment continues year to year, automatically. Please Note: your premiums and benefits may change from year to year.

You can only sign up for BENEFEDS (FEDVIP) during open enrollment or when you meet the requirements for a qualifying life event.

2.2.14 Seasonal Flu Shots

The Office of Employee Health Programs has arranged for seasonal flu shots to be available to all USMS Headquarters employees and contractors assigned to the Washington Metropolitan area. Flu shots are usually scheduled during period August-October of each year.

2.2.15 Federal Flexible Spending Account Program (FSAFEDS)

Federal Flexible Spending Account Programs (FSAFEDS) is a program allowing employees (but not retirees) to contribute pre-tax salary dollars to an account(s) that may be used to pay for out-of-pocket medical and dependent care expenses. Agencies in the executive branch and a few other agencies offer FSAFEDS, which is administered by OPM.

No further funds would be contributed to an FSA if an FSAFEDS enrollee dies. Claims will be accepted for expenses paid on behalf of any surviving spouse and dependents until all previously allotted funds are reimbursed per IRS regulations.

For additional information regarding health care and dependent care accounts, visit the FSA website at: www.FSAFEDS.com

You can only sign up for BENEFEDS (FSAFEDS) during open enrollment or when you meet the requirements for a qualifying event.

2.2.16 Thrift Savings Plan

The Thrift Savings Plan (TSP) is a tax-deferred retirement savings and investment plan that offers Federal employees the same type of savings and tax benefits that many private corporations offer their employees under 401(k) plans. By participating in the TSP, Federal employees have the opportunity to save part of their income for retirement, receive matching agency contributions, and reduce their current taxes.

Employees can sign up for TSP at any time. Open season enrollment periods are no longer required. A user ID and password is required which can be obtained by enrolling in the TSP program.

For additional information regarding TSP, visit the TSP website at: www.tsp.gov.

2.2.17 GovDelivery

Department of Justice (DOJ) Employees in the Washington, DC, area have several ways to learn the status of events following an emergency or facility incident.

DOJ Employees can subscribe to a free email subscription service through GovDelivery. This service allows employees to receive notifications by email (either DOJ or personal) when time sensitive or emergency information is available. To subscribe, go to DOJ's "For Employees" [website](#) and click on the envelope icon under black bar that reads "For Employees." You will be prompted to enter your email address to complete the subscription process.

2.3 Position Description

A position description or "PD" is a statement of the major duties, responsibilities, and supervisory relationships of a position. In its simplest form, a PD indicates the work to be performed by the position. The purpose of a PD is to document the major duties and responsibilities of a position, not to spell out in detail every possible activity during the work day. All employees are issued a PD.

2.3.1 PD Review

Managers are responsible for and permitted to review PD's for their assigned employees. Managers are encouraged to review PD's annually or as needed, to ensure that actual duties and responsibilities are documented appropriately. PD's are stored with the AO and must be requested by the AO.

2.3.2 PD Development

There will be instances where a PD will need to be developed. This process will require close coordination between the manager, the AO and the USMS Human Resources Department (HRD) Classification Section. The manager of the position will be required to provide information on what the position entails, duties, and responsibilities for further development of a classified position description. All position descriptions are classified by HRD.

2.3.3 Maintenance

All PD's are maintained by the AO and moved to share drive. The AO must maintain a PD library.

2.3.4 PD Approving Official

The supervisory certification required on the cover page of a PD is completed by the FSD/AD or DAD.

2.4 Within- Grade Increase

Each General Schedule (GS) grade has 10 steps. Within-grade increases (WGI) or “step increases” are periodic increases in a GS employee's rate of basic pay from one step of the grade of his or her position to the next higher step of that grade.

2.4.1 Requirements

HRD manages the WGI program. The AO will receive, periodically from the HRD WGI Coordinator, WGI records for employees as they reach WGI eligibility. The AO will then provide the appropriate manager with a WGI Record for this/her review. The WGI Record provides information regarding an employee’s eligibility for a step increase which is contingent upon the employee’s acceptable level of performance. This record will be sent to the appropriate manager(s) and FSD DAD within 60 days of the effective date (or as soon as HRD provides) for written approval. The manager will normally approve the WGI Record and return it to the AO, who will forward it to the HRD WGI Coordinator.

2.4.2 Earning Within-Grade Increases

Employees who occupy permanent positions earn WGIs upon meeting the following three requirements established by law:

- The employee's performance must be at an acceptable level of competence. To meet this requirement, an employee's most recent performance rating of record must be at least Level 3 ("Fully Successful" or equivalent).
- The employee must have completed the required waiting period for advancement to the next higher step.
- The employee must not have received an "equivalent increase" in pay during the waiting period. (See 5 CFR 531.407.)

2.4.3 General Schedule

Advancement from...	Requires...
Step 1 to Step 2	52 weeks of creditable service in Step 1
Step 2 to Step 3	52 weeks of creditable service in Step 2
Step 3 to Step 4	52 weeks of creditable service in Step 3
Step 4 to Step 5	104 weeks of creditable service in Step 4
Step 5 to Step 6	104 weeks of creditable service in Step 5
Step 6 to Step 7	104 weeks of creditable service in Step 6
Step 7 to Step 8	156 weeks of creditable service in Step 7
Step 8 to Step 9	156 weeks of creditable service in Step 8
Step 9 to Step 10	156 weeks of creditable service in Step 9

Each wage grade level has (5) steps.

2.4.4 Wage Grade

Advancement from...	Requires...
Step 1 to Step 2	26 weeks of creditable service in Step 1
Step 2 to Step 3	78 weeks of creditable service in Step 2
Step 3 to Step 4	104 weeks of creditable service in Step 3
Step 4 to Step 5	104 weeks of creditable service in Step 4

2.4.5 Denial of Within-Grade Increase

A denial of a within-grade increase means the decision to withhold (not grant) a within-grade increase to an employee because of a determination that the employee's performance is not an acceptable level of competence.

If an employee is denied a WGI, the appropriate manager must document this information on the WGI Record. Formal documentation to support the denial will also be required. The FSD manager and AO should contact HRD for guidance as soon as he/she determines the within grade increase will be denied. For more information see [USMS Policy Directive 3.16 Within Grade Increases](#).

2.5 FSD Web-TA

Web-TA is a web based site that allows employees to enter time and attendance in the National Finance Center (NFC) system, which is the payroll/personnel service provider for salary payment. This system automates the time process of entering time and attendance (T&A). The timekeeping system is to report accurate and appropriate timecard and attendance information to DOJ Human Resources. The goal is to have employees validating T&A within the appropriate timeframe to prevent error and provide accuracy in reporting.

The two week government pay period runs from Sunday of the first week to Saturday of the second week. For practical purposes, the pay period runs from Monday through Friday for two weeks (as most employees do not work on weekends). Web-TA is a system that can be internet-accessible, meaning that an employee or supervisor can work on Web-TA from a computer outside the office (while at home, on travel, etc).

2.5.1 Employee Validation

The Web-TA process requires employees to enter their time and attendance in an automated time card. This includes making requests for annual leave, sick leave, administrative leave due to poor weather or government closure, etc. The employee is responsible for confirming the accuracy of the data on the 2nd Friday of the pay period. This is known as “validation”. An employee who works on Saturday of the pay period should “validate” at the end of Saturday’s work.

2.5.2 Supervisor Certification

Supervisors are required to review each employee’s validated time card and to approve it (a process known as “certification”) on Monday, following the close of the pay period. Supervisors may “certify” their employees’ time cards earlier than Monday, if the employee has validated early enough on Friday. Supervisors should be very careful to approve an employee’s annual leave request or sick leave request before certifying a time card. Once certified, additions or corrections can only be made with an adjusted time card, coordinate with one of the FSD timekeepers.

2.5.3 Roles and Responsibilities

Employees, supervisors, timekeepers all have specific roles in Web-TA. The Web-TA process requires close coordination and cooperation of all listed parties to ensure that employees are paid accordingly and appropriately.

2.5.4 Employees

Employees validate their time card in Web-TA (our automated system) not later than end-of-day on Friday of the second week in the pay period.

2.5.5 Supervisors

Supervisors certify their employees' time in Web-TA on the Monday following the end of the pay period.

2.5.6 Timekeepers

Timekeepers will be responsible for providing oversight functions, thus improving the accuracy of the time and leave data entered for the employee processing corrective T&A's, entering, editing and validating T&A data on behalf of their employees:

- Validation of T&A in the event an employee has no access to the Web-TA system
- Assigns supervisors for certification of FSD T&As in Web-TA;
- Sets up new employee default T&A in Web-TA;
- Resets passwords; and Troubleshoots T&A errors.

2.5.7 Reports

Timekeepers will run a report on Monday the day before certification. It will specify which employees have not validated their time and supervisors who have not certified time. This proactive process is intended to prevent delays in an employee's regular pay day. The report will be sent to the AO, who will notify employees and supervisors concerning those employees who have fallen behind for validation.

2.6 Promotion

A promotion is a change of an employee's pay, while continuously employed from one General Schedule (GS) grade to a higher GS grade. Promotions are typically associated with an employee's current position and promotion potential.

2.6.1 Coverage

Only GS employees who are promoted to a higher grade under the General Schedule without a break in service are covered by the two-step promotion rule in 5 U.S.C. 5334(b) and 5 CFR 531.214 (also, 5 CFR 531.243 for GM employees).

The two-step promotion rule states that a GS employee promoted to a position in a higher grade is entitled to basic pay at the lowest rate of the higher grade that exceeds his or her existing rate of basic pay by not less than two step increases of the grade from which promoted.

2.6.2 Processing Promotions

A request for personnel action (Form SF-52) is required to process a promotion. The SF-52 is completed by the AO. For career ladder promotions, the SF-52 is completed by the AO 30 days prior to the employee's date of eligibility.

The AD and DAD are designated as the approving officials for all personnel actions; however, promotion requests will be routed through the appropriate Assistant Director for concurrence.

2.7 Personnel Security

2.7.1 Personnel Security Processing

- a. Federal Government employees are processed through a background screening during the hiring process. This is coordinated between HRD and Tactical Operations Division (TOD). The Division can ask for status updates on the process, but is largely a bystander, until the announcement is made that the government employee-candidate has cleared background (or been rejected). A conditional approval (waiver) may be requested for a current government employee coming to work in USMS/FSD.

- b. FSD is more heavily involved in the security processing of a contractor candidate. Once a candidate for a contract position in FSD is selected by the vendor, the vendor coordinates with the COR and provides to the FSD AO the following security package: USM-394 (Part I filled out): two forms of government issued photo identification (driver's license and passport are recommended); a completed OF-306; a completed DOJ-555; a resume'; and two completed finger print cards. The AO reviews this material for completeness, and takes the following action: fill out and sign Part II of the USM-394 (request for Initial PIV); fill in the identification information (driver's license number, passport number) in Part III and sign Part III of the USM-394. The AO then selects the submit button on the USM-394 and attaches the other required documents to the email. That email is sent to OSP-Contractor at TOD Personnel Security for processing. When TOD Security notifies the AO that the package has progressed to a point where a conditional approval (waiver) maybe considered, the AO can process the conditional approval request.

2.7.2 Reinvestigations

Reinvestigations are required for all Federal employees; however, the extent of the reinvestigation is dependent upon the employee's clearance level.

2.7.3 Requirements

The incumbent of every position within the USMS is required 5 years after his/her initial background investigation, and at least once in every subsequent 5-year period, to undergo a background reinvestigation. For further details, see [USMS Policy Directive 17.7 Personnel Security](#).

2.7.4 e-Qip

Employees are required to complete their reinvestigation using the Electronic Questionnaires for Investigations Processing (e-Qip), system. e-QIP is a web-based automated system that was designed to facilitate the processing of standard investigative forms used when conducting background investigations and reinvestigations for Federal security, suitability, fitness and credentialing purposes. e-QIP allows the user to electronically enter, update and transmit their personal investigative data over a secure internet connection to a requesting agency.

2.7.5 Fingerprints

AO will instruct employee when to obtain their fingerprints. Fingerprints for reinvestigations can be completed at the TOD Security Office, 8th Floor, HQ, USMS (1215 South Clarke Street, Arlington). Fingerprints may also be obtained at USDOJ Justice Management Division, 2CON, 145 N Street, Room 2W 716, from 1:00 p.m. – 4:00 p.m., Tuesday and Thursday. No appointment is necessary; however, employees are to wait until they are instructed to report. Once the employee completes the fingerprint process, he/she must notify the AO. Employees can also be fingerprinted at RFK Main (950 Pennsylvania Avenue, NW), from 1:00 p.m. – 4:00 p.m., Monday – Friday.

2.7.6 Notification

Employees will be notified via email of their requirement to complete the reinvestigation process electronically. Notifications will be provided to employees within 60 days of their current clearance expiration date with a courtesy copy to their assigned supervisor. The AO will closely monitor outstanding reinvestigation requests and notify managers of any delinquent reinvestigations.

2.7.7 Clearance Results

The AO will receive notifications regarding all clearance requests. If there are any issues that need to be resolved for an employee's reinvestigation, the SPM will contact the employee directly.

2.7.8 Final Clearance Determinations

Final determinations regarding reinvestigations are provided to the FSDSPM, which is then forwarded to the employee via email.

2.8 Telework

Telework is the act of working from a location other than the normal duty location and using electronic means, normally a computer, to perform job tasks. Telework for an employee, federal or contractor must be approved by management (and in the case of a contractor, must be contained in the contract). There is a formal process in place to request telework, as well as required training (for both the teleworking employee and the supervisor) before telework can begin.

2.8.1 Telework Types

Routine: Routine telework occurs as part of an ongoing, regular schedule.

Situational: Situational telework is approved on a case-by-basis, where the hours worked were NOT part of a previously approved, ongoing and regular telework schedule. Examples of situational telework include, but are not limited to, telework necessitated by inclement weather, doctor appointment, or special work assignments. Situational telework is sometimes also referred to as episodic, intermittent, unscheduled, or ad hoc telework. Employees who are approved for routine telework also are eligible for situational telework.

2.8.2 Telework Eligibility

Employees must occupy a position that is compatible with telework and meet other criteria to be eligible. For information on employee eligibility for telework, refer to [USMS Policy Directive 3.23 Telework](#) (Appendix 5.3).

2.8.3 FSD Telework Application Process

For telework participation, managers and employees are to follow the following steps:

1. Form [USM-399](#), Telework Request must be completed by the employee and forwarded for approval to the immediate supervisor and approving official (Appendix 5.2). Telework is granted at management's discretion, however, if a request is denied the employee has the right to a grievance process.
2. All requests must be recommended for approval by the first line supervisor and approved by the approving official before an employee may telework. United States Marshals (USMs), Chief Deputy United States Marshals (CDUSMs), Assistant Directors (ADs), and Staff Office Heads are designated as approving officials.
3. All employees new to telework must complete the following one-time training prior to participating in the USMS telework program:
http://www.telework.gov/tools_and_resources/training/employees/index.aspx.

4. All new supervisors with telework employees must complete the following one-time training: http://www.telework.gov/tools_and_resources/training/managers/index.aspx.
5. Once an employee and supervisor have completed the online training, a certificate must be provided to a District/Division Telework Point of Contact (Andrea Bass) within five days of completion to ensure compliance.

2.8.4 Equipment and Security for Telework Use

All employees must only use USMS-owned equipment when teleworking. The USMS-owned equipment must only be used for official purposes. The employee is responsible for properly maintaining, protecting, and securing the USMS-owned equipment at all times. The USMS is responsible for providing the employee with all necessary office supplies. The USMS is not liable for damages to employee's personal or real property while the employee is working at the approved alternate worksite.

All USMS employees must comply with property accountability in regards to telework. Form [USM-325, Hand Receipt](#) (Appendix 5.2), must be present with the employee and their respective supervisor when he or she teleworks to maintain accountability of USMS-owned equipment (i.e., laptop).

2.8.5 Unscheduled Leave or Unscheduled Telework

- a. Approved telework employees who are scheduled to work when the USMS closes are expected to begin telework on time or request unscheduled leave.
- b. Supervisors may excuse a telework employee from duty during an emergency situation if:
 - The emergency adversely affects the telework site (i.e., disruption of electricity, loss of heat, etc.)
 - The telework employee faces a personal hardship (childcare, eldercare, etc.) that prevents him or her from working successfully at the telework site.
 - The telework employee does not have the means or the technology to work successfully at telework.
 - The telework employee's duties are such that he or she cannot continue to work without contact with the regular worksite.
- c. Approved telework employees who are not scheduled to telework during an office closure must notify their supervisor of their intent to use unscheduled leave or unscheduled telework. For additional guidance refer to [Washington, DC, Area Dismissal and Closure Procedures](#).

2.9 Alternative Work Schedules (AWS)

Alternate Work Schedules (AWS) or flexible work schedules (FWS) are available in FSD, where applicable. Within rules established by DOJ, AWS can enable employees to have work schedules that help the employee balance work and family or personal responsibilities.

2.9.1 Basic Work Requirement

The basic work requirement for a full-time employee is 80 hours in a biweekly pay period. Part-time employees have a 32- to 64-hour biweekly work requirement.

2.9.2 Types of AWS

- a. **Flexitour:** This flexible work schedule allows an employee to select start and stop times within the flexible hours. Once selected, the hours are fixed until the agency provides an opportunity to select different starting and stopping times.
- b. **Gliding Schedule:** For this option an employee has a basic work requirement of eight hours a day and 40 hours a week. The employee may select start and stop times each day within the established flexible hours.
- c. **Maxiflex Schedule:** This option contains core hours on fewer than 10 workdays in the biweekly pay period, but the employee still has a basic work requirement of 80 hours during the biweekly pay period. The employee may vary the number of hours worked on a given workday or the number of hours worked each week during the pay period, within the limits established for the USMS, in order to accrue the required 80 hours.

2.9.3 Procedures

Employees must submit [USM-398](#), Flexible Work Options Request Form (Appendix 5.2) to be considered for the Flexible Work Schedule Program. For information on procedures for AWS, refer to [USMS Policy Directive 3.22 Flexible Work Schedule](#).

2.10 Employment Verification

Employees needing proof of employment or requesters needing to verify employment status may contact the appropriate HRD contact person.

2.11 Retirement

The Federal Employees Retirement System (FERS) is the current retirement system for employees within the U.S. federal civil service. FERS was enacted on June 6, 1986, to replace the Civil Service Retirement System (CSRS) and aligns federal retirement plans with those in the private sector.

There are a number of considerations to be made which are provided in this chapter. For starters, employees should schedule a meeting with HRD to discuss their individual retirement posture before retiring.

2.11.1 Retirement Request

Employees should notify their manager of their retirement date with as much notice as possible. A request for personnel action (SF 52, prepared by the FSD AO) is required to process a retirement.

2.11.2 Retirement Letter and Certificate

Upon receipt, retirement letters and certificates will be mailed to employees who are no longer employed with the government. Requests for a retirement certificate are completed by the AO.

2.12 Separation Checklist

All departing/retiring employees are required to complete the Separation Checklist, [USM-199](#) (Appendix 5.2). The AO will assist in this process. The departing employee's supervisor notifies AO. The COR notifies the AO for departing contractors. A meeting is scheduled with AO to provide instructions and issue forms.

The checklist is provided by the AO to the employee's supervisor within two weeks of their departure, if possible. Employees are required to complete the form and provide it to the AO along with any documents, materials and/or equipment prior to their departure.

It is the responsibility of FSD managers to follow separation procedures as outlined in PD 3.6 *Separation of Employees and Contractors*. FSD ensures that a USM-199, *Separation Checklist* is properly completed for all employees and contractors (**HUMAN RESOURCES – 01, eSAG**). The AO must give notification for separating:

1. **USMS employees:** by submitting an [SF-52](#), *Request for Personnel Action/Termination In* ([Appendix J](#)) to HRD in advance or on the date of the separation of an employee (**HUMAN RESOURCES – 03, eSAG**). Additional form to be submitted include:
 - a. [USM-199](#), Separation Checklist
 - b. [USM 169](#), for ITD disconnect
 - c. [USM 571](#), for UFMS disconnect
2. **Contractors:** by providing written notification and submitting a [USM-199](#) to the Contracting Officer (CO) and/or the Contracting Officer's Representative (COR) in advance or on the date of the separation of a contractor to cease payment for services.

3. PROCESSES AND PROCEDURES

3.1 Government/Contractor Protocol

The following lists of do's and don'ts are set forth to be applicable to government employees and contract employees in regards to affiliations within USMS.

1. Contractors are not government employees and must therefore be identified, with distinctive badges:
 - a) The contractor's work area should be clearly identified to help preclude any appearance of a personal service relationship with the government employees and contractor personnel.
 - b) Contractor identification should extend to email accounts and signature blocks should clearly identify contractor personnel.
2. Respect the employer-employee relationship between contractor and their employees.
3. Be aware of intellectual property rights in the federal workplace. The terms of the specific contract will determine the contractor's rights, but often the contractor is allowed to legally profit from products it develops in the federal workplace.
4. Report possible conflicts by contractor personnel to include violations of the law (including but not limited to Procurement Integrity statutes and regulations). Be sensitive to appearances created by close relationships between government and contractor personnel. Seek assistance from Contracting Officer Representative, Contracting Officer, and/or legal counsel. Unduly close personal relationships with contractor personnel can create the appearance of favoritism, and may call into question the integrity of the procurement process.
5. Safeguard proprietary, Privacy Act, and other sensitive and nonpublic information. Release of certain types of information to unauthorized contractor personnel could violate the Procurement Integrity Act, the Trade Secrets Act, the Privacy Act, the Joint Ethics Regulation and/or other laws that could subject the releaser to civil and/or criminal penalties.
6. Clearly describe all contractor tasks.
7. Set the example – as leaders, establish and maintain high ethical standards. Address ethical issues promptly and confer with Contracting Officer. If you have questions, you can use Office of Procurement Helpdesk.
8. Don't become so involved as a government official in the operations and policies of the contractor such that your judgment alone forms the basis for contractor actions such as:
 - a. Selecting or recruiting contractor personnel
 - b. Directing, scheduling, or critiquing individual contractor tasks on a continuous basis
 - c. Supervising contractor personnel

- d. Rating individual contractor personnel performance
 - e. Hiring or firing individual contractor personnel
 - f. Determining who should perform contract tasks or how they should be done
 - g. Pressuring the contractor to use “favorite” personnel, or insisting on particular personnel actions
9. Don't use government and contractor personnel interchangeably.
 10. Don't intervene in the contractor's chain of command.
 11. Don't require “out of scope” work, personal services, or performance of “inherently governmental functions.” The services the contractor is required to provide through its personnel are set forth in the contract -- there are no “and other duties as assigned.”
 12. Don't give the incumbent contractor a competitive advantage by including its personnel in re-competition meetings or by allowing the contractor's personnel to overhear or gain access to planning information.
 13. Don't solicit or accept gifts from contractor personnel. Contractor employees are “prohibited sources” and the rules for giving and getting gifts are very strict. Government employees may not solicit contractors and their personnel to provide or contribute to office gifts such as a retirement gift. In addition, we may not solicit Combined Federal Campaign (CFC) contributions from contractor personnel.

3.2 Lost or Stolen PIV Card

If an employee's PIV card is lost or stolen, the employee is to immediately notify their supervisor and the AO. The AO is responsible for creating a USM-394 for “Lost PIV” and sending it in an email to: HSPD12, using a tab at the bottom of the USM-394 (See Appendix 5.1).

3.3 Parking Benefits

Parking at USMS Headquarters (1215 South Clarke Street, Arlington, VA), due to limited parking spaces, is granted to federal employees only. An online parking application [USM-128](#) must be completed in order to request parking. If parking is granted, a building swipe card is issued. This swipe card permits access to the first entry level (run by building management). The USMS entry gate (the 2nd entry) is accessed through the use of the employee's PIV card, which is coded for parking by the TOD's Badging Office. For further information, see [USMS Policy Directive 7.4.3 Headquarters Parking](#).

3.4 Employee Transit Program

Transit Benefits are available to federal employees who use public transit means to get to and from work (metro, bus, train, etc). Transit benefits are a monthly partial reimbursement for

using mass transit. Form [USM-431](#) is used to request transit benefits. Employees desiring to apply for transit benefits should first contact the FSD AO. The FSD AO will assist in filling out the form and will ensure it is correct before sending it to the USMS Transit Benefits Coordinator (who works in Management Support Division [MSD]). For further information, see [USMS Policy Directive 7.8 Employee Transit Program](#).

3.5 Computer/Electronic Accommodations Program

The Computer/Electronic Accommodations Program (CAP) ensures that people with disabilities and wounded Service members have equal access to the information environment and opportunities in the Department of Defense and throughout the Federal government. By fulfilling this mission of providing real solutions for real needs, CAP is helping to make the Federal government the model employer for people with disabilities.

Much of CAP's success lies in their ability to provide reasonable accommodations to employees quickly and easily, increasing employment and retention of employees with disabilities.

The CAP provides assistive technology, devices, and support services free of charge to Federal agencies that have a partnership with them.

In order to receive supplies from CAP, employees must complete the required documents. Employees are also required to provide medical documentation to support any disabilities that they claim. The CAP request must be signed by the employee and the employee's supervisor and then forwarded to CAP. This process is to be coordinated with the AO.

The CAP is responsible for approving all requests for equipment. For additional information on this program, visit <http://www.cap.mil/>.

3.6 Ceremonial and Promotional Items (“Trinkets”)

Government funds may not be used to buy to purchase ceremonial and promotional items or trinkets. The existing ceremonial and promotional items are accurately maintained by OOP in an accountable log book (**FINANCIAL MANAGEMENT-09, eSAG**).

3.7 Training

Training provides for making available to an employee to improve individual and organizational performance and assist in achieving the agency's mission and performance goals. Employees and managers are encouraged to pursue training opportunities that directly align with day to day responsibilities. All training requests will be reviewed on a case by case basis for funding availability. For more information see [USMS Policy Directive 1.2 Expenditures for Commemorative and Collectible “Trinket” Items](#).

3.7.1 Training Requests

All external requests for training must be completed via LearnUSMS. LearnUSMS serves as a tracking system for your training needs. Specific documents must be completed to request external training and have it approved.

3.7.2 Annual Training Requirements

There are a number of annual training requirements assigned by DOJ. Employees will receive notifications from LearnUSMS of those requirements and must fulfill all training accordingly and timely.

3.7.3 LearnUSMS

LearnUSMS is an on-line training center that provides features and services to help employees whether they are looking to discover new learning opportunities, better manage their career, request external training or connect with their individual learning needs.

An enhanced training catalog is available to explore and try new online tools. Employees may find the learning that best suits their needs, whether it is classroom, a web-based course or an online book.

- Enter Individual Development Plan online. Manage career goals and track your progress throughout the year.
- Use the new external training process (SF-182) to request the learning needs to further career.
- Track employees' learning needs with features like the new supervisory dashboard.

3.7.4 LearnUSMS User ID and Password

Employees are issued a temporary user ID and password by the AO once a new employee's information has been set up in the National Finance Center and LearnUSMS systems.

3.7.5 UFMS Training Process

FSD has worked with the Training Division (TD) to streamline the training required for brand new UFMS users. Specifically, this training is for an employee, contractor, or intern with the United States Marshals Service that has never had a Unified Financial Management System (UFMS) account with the agency but now requires one.

1. An Administrative Officer or Supervisor should submit the revised UFMS Request for Training form for a brand new UFMS user.

2. Based on the answers to the form, specific training will be assigned in LearnUSMS.
 - a. In the past, a handful of self-study guides and tests were completed outside of LearnUSMS which often caused delays in completing the required training. Now, all UFMS training requirements are handled within LearnUSMS.
 - b. The assignment of training in LearnUSMS will be performed as soon as possible; however, it is contingent upon the creation of a LearnUSMS account if one does not already exist. FSD will work directly with TD to set up a LearnUSMS account, if required.
 - i. TD can create a LearnUSMS account for contractors upon request.
 - ii. The Department of Justice creates all LearnUSMS accounts for employees which can take 1 to 3 weeks depending on the employee's start date.
3. After all the assigned UFMS training in LearnUSMS is completed, the office can then submit a USM-571 UFMS User Account Request Form.

For further information on the UFMS Training Requirements for brand new UFMS users, please visit the Office of Financial Systems Support - UFMS User Account Access page under the "New UFMS User Training Requirements" section.

3.7.6 Reserving Conference Rooms

Meeting rooms in the new headquarters (HQ) building are shared and will generally be unmanaged; however, priority is assigned to the AD of the floor on which the conference room resides. Schedulers may be asked to change or delete their reservations as situations warrant.

Scheduling and management is coordinated via employee's email calendar. Initial scheduling of available rooms can be done through the standard Email Calendar invite by selecting "New Meeting" or by creating an appointment entry with participants. Room scheduling cannot be done for reoccurrences spanning more than 180 days.

The conference rooms on the 16th floor in the HQ building have been reset from unmanaged to managed. This means that if an employee would like to book a room, the employee must go to the appropriate points of contact. The Outlook Calendar reservation system has been updated by ITD to deny future requests unless they are coordinated by the designated points of contact (POCs) below. The main POC is listed first and the backup is listed second.

Rules for Use:

Please keep in mind that all conference rooms are in close proximity to the executive leadership team. Employees must maintain a professional appearance and minimize noise.

- a) Medium Conference Room 16064 is the primary meeting space for the ADO, ADA, and CFO. This room is the first room that visitors see when entering the Executive Suite. Writing on the glass does not present a professional image and should be avoided. Due to its location, this room should be utilized for formal meetings or briefings, and not for working groups or similar sessions, unless no alternatives are available.
- b) Close the door during the meeting to minimize noise. Avoid congregating outside the conference room before or after the meeting to minimize noise.
- c) Return all chairs to the table or wall in a neat and orderly appearance. Remove all papers and dispose of all trash and drinks containers. Clean off all dry erase marks. Additional white boards to be mounted in 16052 and 16098.

3.8 FSD Travel

3.8.1 Employee Official Travel

FSD government employees use the E2 travel system to plan, arrange and voucher for official government travel. Federal employees should apply for a government travel credit card upon arrival to FSD. The AO will help with this request, using USM-352. Once the form is approved, a travel credit card will be issued.

The government employee is expected to place all official travel expenses on the government travel card. The travel card will NOT be used for unofficial/personal transactions.

The official travel process: the employee is given directions to conduct official travel; the employee then uses the E2 system to create a Travel Authorization. This permits management to review and approve the employee's travel plans and projected costs (airfare, hotel, rental car, etc). Once the travel authorization is approved, the employee may finalize their travel plans and conduct the travel (**FINANCIAL MANAGEMENT-05, eSAG**).

Upon completion of official travel, the employee has 5 business days to file the Final Travel Voucher in E2. This standard is carefully tracked and should be met.

Contractor travel is managed in a different manner. A contractor who is traveling on official travel must have travel authorization built into the contract. He/she then plans and executes travel according to company policy, staying within government limits (as described in the contract). The government will be billed, as part of the invoicing process for that contract, for the contractor's travel (**FINANCIAL MANAGEMENT-06, eSAG**).

3.8.2 Travel Lodging Rates

Employees traveling on official business are expected to find lodging that falls with the rates sent for each region and city by the General Services Administration (GSA). There are times, however, when the "GSA rate" is not offered in a city or region for a variety of reasons. If that occurs, the traveler must request approval to exceed the GSA rate. The approval authority at USMS is the Chief Financial Officer. In order to approve an "above GSA rate" for lodging, the traveler must provide a request to the CFO, in the form of a memo with supporting documents. An example of the memo can be found at [Appendix 5.5](#). The memo should describe the purpose of the travel; the dates of travel; the names of travelers on the mission; any reason why the GSA rate is not being offered. The traveler should attach any proof that an on-line search of area lodging was conducted, and provide costs of lodging in the area. Finally, the traveler should provide a comparison of the GSA rate with the actual cost which is being requested. The CFO will review this material and make a decision. If the CFO approves the above GSA rate, the traveler should continue with travel planning and attach the CFO's approved memo to the travel

authorization. If the CFO disapproves the request, the traveler is liable for all costs above the GSA rate. USDOJ Policy 1400.04 describes the Above GSA lodging process (**FINANCIAL MANAGEMENT-05, eSAG**).

3.9 Undelivered Orders/Open Obligations Reviews (UDO/OOR)

To ensure that funds are spent, tracked, and accounted for correctly throughout the year, FSD conducts a monthly review of its undelivered orders and open obligations. The UFMS system and BIER custom reports generator permit development of reports that can be tailored to allow a review of expenditures, open balances, accruals, etc.

The process of UDO/OOR review starts at/around the 20th of each month, when the AO sends out the draft UDO/OOR report to responsible employees to review their UDO/OOR. These responsible employees include the COR, purchase card holders, and anyone else who has created an obligation and payments against that obligation. Using the draft UDO/OOR, the analysts study their UDO/OOR report lines and review their obligations amounts; Period of Performance; Undelivered Orders; Accrual amounts; invoice payments; any discounts/interest; and open amounts. They should ensure that the data contained therein is accurate; if it is not accurate, they must investigate to determine the cause of the error/inaccuracy. Each line is rated as “valid” or “invalid” with comments concerning the invalidity. The draft UDO/OOR report is completed on or about the last day of the month.

The formal monthly UDO/OOR certification process takes place after the end of the month. Another UDO/OOR report is run on the first day of the new month; this report will capture all changes and data entries made as of midnight of the last day of the month. Each analyst receives this copy of the UDO/OOR report; their duty with this report is to do a final check to ensure that the data is correct. They date and sign the report to certify that the information is accurate. Any adjustments that must be made are executed with the Office of Finance through a formal adjustment process. The analyst signs and dates the UDO/OOR and sends a “hard copy” to the FSD Budget Analyst and an e-copy to both the budget analyst and AO.

At the end of each quarter, the Deputy Assistant Director reviews the UDO/OOR documents to check the accuracy or the effort. These reviews are scheduled events with each analyst, covering some or all of the lines on the UDO/OOR.

3.10 Procurement

The purchase card is used in accordance with the [USMS Pub 41 - Purchase Card Manual](#), to include the following:

- Purchase cards issued to government employees are to be used only for official government business (NOTE: Purchase cards are only issue to government employees)
- The purchase card is to be utilized to maximum extent when practical.
- Purchase card transactions below the micro-purchase threshold (\$3,500 for supplies/equipment and \$2,500 for services) are supported by a properly completed Purchase and Fleet Credit Card Micro-Purchase Approval Request ([USM-157A](#))
- Equipment and services above the micro-purchase threshold are placed on a purchase order and the purchase card used as the payment mechanism after the services have been rendered.
- Key duties such as making purchases, authorizing payments, certifying funding, and reviewing and auditing transactions are assigned to different individuals.
- Federal Prisoner Industries (FPI) is considered first for all office furniture and uniform purchases before utilizing an alternate vendor (Note: All furniture purchases must be made through the Management Support Division - Office of Construction Management (MSD\OCM).
- All purchases for office supplies, office paper, toner and ink regardless of dollar value are purchased in accordance with the Office of Management and Budget mandated [Federal Strategic Sourcing Initiative](#) (FSSI)
- Fleet expenses below \$2,500 (maintenance and repairs) are placed on the Fleet credit card in accordance with [Policy Directive 7.2 Vehicle Use and Maintenance](#).
- Purchase card transactions are reconciled within three (3) days, and cardholders reconcile all statement items by the last business day of the month.
- Goods and services are received and receiving document/invoice contains a statement for receipt and acceptance before the payment is rendered (NOTE: Publication subscriptions or other publication services; Employee training registration; and Conference/seminar registration fees are forms of authorized advance payments, otherwise advance payments a prohibited). **[PROCUREMENT-03, eSAG]**

3.11 Audits

KPMG provides auditors for the USDOJ Consolidated Audit, of which USMS is a part.

USDOJ Office of the Inspector General (OIG) sponsors the auditors. They will send names of auditors who will need to be cleared to access USMS records and documents.

KPMG Auditors must go through the USMS personnel clearance process in order to work at USMS or to review USMS documentation. Clearances are processed, like any other security package, through the OSP-Contractor email inbox. Not all auditors will work on site at USMS.

When OIG sends a KPMG contractor to be an auditor, the following checklist is used:

1. Have they been on the audit team before and gone through the security process? If yes, they may need only an update. If no, they will need an entire security package. TOD should be contacted to verify this information.
2. Will the auditor need a PIV card and JCON (access to the network)? Not all KPMG auditors will need a PIV card and JCON access. OIG will specify whether they do or don't. The KPMG auditors that have been cleared at USDOJ will have a DOJ PIV card. In this case, reciprocity should be requested.
3. If the auditor is new and needs to have a security package processed, OIG should send the following:
 - USM-394 with Part I filled out.
 - 2 forms of government issued photo ID (passport and driver's License are preferred)
 - Resume'
 - [OF-306](#)
 - [DOJ-555](#)
 - Previous clearance information (JPAS or JCAVS) if available
 - Take the above forms and look them over for completeness. For USM-394, check all of Part I for completeness. Fill in Block 4 of the USM-394 (request date). If they will need a PIV, click the dropdown of USM-394, Part II, block 16 and select "Initial PIV Card Sponsorship." E-Sign in Block 19. Then, in USM-394, Part III, click "Yes" in blocks 20 and 21. On block 22, list the Driver's License number and the USA Passport number (or another number if another type of ID was presented). If finger prints are

provided, click “Yes” in Block 23; otherwise click “No.” E-sign in Block 24. At the bottom of the USM-394 click “SUBMIT HQ-Contractor”. An email will set up. All of the above forms should be saved first then attached to that email. TOD/OSP should be advised in the email remarks that this is a KPMG auditor. The subject line should read as follows: Security Package for KPMG Auditor, “Jane Smith.”

4. All of the above information should be saved in a file that is developed for each KPMG auditor.
5. When TOD/OSP clears the auditor, OIG should be advised. In addition, a report date and a Rules of Behavior (ROB) should be requested. OIG should have a blank copy of the ROB; if not, you might have to send OIG a copy.
6. Once that ROB is signed and returned, process the USM-169 and ROB. Any auditors that will be working on site will be listed as working in Room 2007, with the appropriate cubicle number.
7. Here is the list of the Auditor Office Cubicle numbers and phone numbers (for the USM-169):
 - 2007A 703-740-1514 (computer set up)
 - 2007B 703-740-1515 (computer set up)
 - 2007C 703-740-1516 (computer set up)
 - 2007D 703-740-1517 (no computer)
 - 2007E 703-740-9468 (no computer)
 - 2007F 703-740-9469 (computer set up)
8. FSD supports the auditors with four computers and six office spaces. Given that we are part of the consolidated USDOJ audit which was deemed sufficient last year by the auditors and OIG.

3.11.1 UFMS Training

Specifically, this training is for an employee, contractor, or intern with the United States Marshals Service that has never had a Unified Financial Management System (UFMS) account with the agency but now requires one. This also applies KPMG auditor who have never had UFMS training. Refer to [Section 3.7.3](#) for further requirements.

3.12 Property Accountability

The [USMS Policy Directive 7.1.2 Property Acquisition, Utilization, Disposal](#) implements federal and Department of Justice (DOJ) personal property management requirements and delegates authority, assigns responsibility, and sets forth policies pertaining to the acquisition and disposal of personal property.

3.12.1 Property Accountability Chain of Command

According to [USMS Policy Directive 7.1 Management Support](#), certain duties and responsibilities are delegated to USMS employees in possession of government property as well as those providing oversight with regard to property accountability. FSD will designate a Property Custodian and Property Officer as a collateral duty using USM-222 (**MANAGEMENT SUPPORT-01, eSAG**).

FSD Employees and Contractors are responsible for the accountable property they are issued and must retain a copy of a signed USM-352, Hand Receipt. Employees are required to participate in a yearly 100% inventory of FSD's accountable property.

Managers and Supervisors are responsible for overseeing compliance with the provisions of USMS Policy Directive 7.1 and with assisting the Property Custodian in fulfilling his or her duties and responsibilities.

Property Custodians are responsible for assisting the Property Management Officer (PMO) in fulfilling his or her duties and responsibilities and for ensuring timely coordination with PMO on property management issues and corrective actions. Property custodians designate a Property Officer using [USM-222, Additional Duty Designation](#). The AD and DAD provide executive oversight for property management.

Property Officers are responsible for initiating transactions related to acquisition, receipt, inspection, test, acceptance, classification, marking, and recording of USMS property. Property Officers advise managers and employees of their responsibilities with respect to government property and work with PMOs to record accountable property into the property management system.

Property Officer Assistant (POAs) are responsible for coordinating and conducting activities of the property management program. PMOs ensure records of accountable and controlled property are adequately created, maintained and supported by physical inventories and hand receipts.

3.12.2 Hand Receipt Procedures

All accountable property responsibility shall be controlled through the use of an automated [USM-325](#), Hand Receipt in PACES. The division will also ensure accountable property not issued to individuals is recorded on a Hand Receipt (**MANAGEMENT SUPPORT (MS-0)**). Responsibility is divided into two specific subcategories:

Personal Responsibility: the obligation of an individual employee for the proper custody, care, and safekeeping of property which is assigned or issued to him/her for official use.

Supervisory Responsibility: the obligation of an individual for overseeing the proper custody, care, and safekeeping of property which has been assigned/issued to an individual employee for official use, who is under his/her supervision.

Hand receipts are distributed and managed by the Property Officer's Assistant.

The POA will provide a hand receipt to the user who is issued any accountable property. An email with a prepopulated hand receipt will be sent to the user. The user should print and have a signed copy for the POA's records.

It is the responsibility of the user to safe keep all hand receipts issued and have their copies available should any question arise.

3.12.3 Issue and Return of Personal Property Procedures

Issue of Accountable Property

1. Accountable property is ordered with a purchase card or through procurement. The accountable property comes in and first goes to the USMS warehouse.
2. Accountable property is bar coded and then labeled with FSD project code A4101.
3. Property is transferred from the warehouse to FSD; in the PACES system it is moved electronically from the warehouse project code to the FSD project code.
4. The Property Officer Assistant (POA) accepts control of property and a PACE's accountability document is created.
5. The Property Officer/POA decides which employee the property will be assigned to; most often, guidance will be received from the Section Chief of the employee or the FSD DAD. A USM-325, Hand Receipt is given to the employee to accept control of the property upon retrieval of the accountable property.

3.12.4 Repair and Return of Accountable Property

If the user experiences malfunction of the accountable property, the POA should be notified prior to contacting the ITD HelpDesk to ensure both the ITD team and FSD team can keep track of the property's destination.

- The user is critical in this process, in that they must not release property to ITD until POA is notified.
- FSD stresses the importance of having property accountability for ALL property at ALL times.
- If ITD decides they must remove the property to repair it or the user no longer needs to use the property: the user gets a hand receipt from the POA as a turn-in procedure to initiate the hand receipt process and transfer of accountability.
- If ITD returns the property directly to the user, the user must notify the Property Officer/POA who will generate a hand receipt to transfer accountability back to the user.

3.12.5 Annual Inventory

An annual inventory is required for all accountable property owned by USMS. The inventory period runs 1 March through 15 April (**MANAGEMENT SUPPORT (MS-02)**).

The Property Officer and Property Officer Assistant will visit each employee that is issued accountable property (laptop, desktop, I-Phone). The Property Officer/POA will bring two copies of the employee's current hand receipt. Each employee with accountable property will be asked to update the hand receipt by verifying the bar code and serial number on that property, and then signing and dating the hand receipt. The employee will keep one copy, and the POA will keep one copy for the accountable property master file. The Property Officer/POA will scan the bar code of each piece of accountable property as part of the annual inventory, to update the PACES record (**MANAGEMENT SUPPORT (MS-05)**).

1. Scan the bar codes on all accountable property, updating the PACES data base
2. Update hand receipts so that all accountable items are assigned to a responsible individual (the user of that equipment)

A master hand receipt is populated at the end of the process for the Property Officer to cross reference whether everything is signed for via a hand receipt.

3.13 Official Government Records

All Federal records must be scheduled: they must be assigned an appropriate amount of time after which they will be destroyed or transferred to the National Archives and Records Administration (NARA) for permanent retention (**GENERAL MANAGEMENT-09, eSAG**). After records are no longer needed for frequent consultation, but before they are ready to be destroyed or transferred to the National Archives, agencies frequently use the services of NARA's Federal Records Centers (FRCs), where the records are stored but can be retrieved whenever the responsible agency needs them to conduct its business (**GENERAL MANAGEMENT-11, eSAG**).

3.13.1 Records Manager

The FSD Records Manager reports to the AO. The Records Manager is the responsible person to conduct the Records inventory (**GENERAL MANAGEMENT-10, eSAG**). The Records Manager is responsible to ensure that records are destroyed, retired or moved to a secured storage area on a routine basis. [See USMS Policy Directive 1.4, Records Management](#).

4. COLLATERAL DUTIES

4.1 Safety Officer

The FSD Safety Officer is appointed by the CFO or DAD, using [USM-222](#). The Safety Officer is responsible for all facets of safety in and around FSD. He/she should make frequent/routine inspections of the work site (**MANAGEMENT SUPPORT-35, eSAG**). The Safety Officer duties include:

- a. Conducting inspections of all work areas and facilities used by division employees and annually complete the Occupational Safety and Health Program (OSHP) division Safety Assessment ([USM-463](#))
- b. Maintaining a division OSHA file
- c. Obtaining data concerning occupational accidents, injuries and illnesses
- d. Immediately reporting unsafe and unhealthful conditions
- e. Notifying OSHP of emergency or hazardous safety and health conditions
- f. Representing the USMS at safety and health meetings and distributing health literature
- g. Attending safety and health trainings where funding permits (**MANAGEMENT SUPPORT-36, eSAG**).

Accidents must be reported to the Safety officer and the Safety Officer will track accidents throughout the year. The USMS Safety Office prepares the Summary Accident Report., OSHA Form 300. The FSD Safety Officer is supposed to post this information from February 1 – April 30 (**MANAGEMENT SUPPORT-37/38, eSAG**).

4.2 Public Affairs Officer (PAO)

The FSD Freedom of Information Act (FOIA)/Public Affairs Officer (PAO) is appointed by the CF or DAD, using [USM-222](#) (**GENERAL MANAGEMENT-01, eSAG**). FSD requires that the PAO complete the PAO training course within one year of the collateral duty assignment (**GENERAL MANAGEMENT-04, eSAG**). The FSD PAO is tasked to handle incidents that generate the interest of the press or congress. Employees who are involved in or witness a serious incident should report that to the FSD PA Officer (**GENERAL MANAGEMENT-05, eSAG**).

Any occurrence that is an interest to congress should also be forwarded to the FSD Public Affairs Officer (**GENERAL MANAGEMENT-08, eSAG**).

4.3 Equal Employment Opportunity (EEO) Liason

The FSD Equal Employment Opportunity (EEO) Liason is appointed by the CFO or DAD, using USM-222 (**GENERAL MANAGEMENT-14, eSAG**). The FSD EEO acts as a point of contact for EEO matters, coordinates EEO trainings, and posts EEO notices; including [USMS Pub. No. 70A](#) (**GENERAL MANAGEMENT-14, eSAG**). Employees DO NOT have to contact the FSD EEO Liason if they feel they have an EEO question or grievance; they may contact the EEO office directly. Any employee may at any time visit the Office of Equal Employment Opportunity without first consulting their supervisor. For further details, see [USMS Policy Directive 1.2 Equal Employment Opportunity](#).

4.4 Human Resources Liason

The FSD HR Liason is appointed by the CFO or DAD, using USM-222. The HR Liason is responsible for all functions associated with human relations, and works with designated representatives of Human Relations Division to interface with HRD and the employee. If an employee's performance is unacceptable in one or more critical elements in their current Performance Plan, the HR Liason contacts Employee Relations to seek advice and guidance on taking appropriate corrective actions (**HUMAN RESOURCES-13, eSAG**).

4.5 Property Custodian and Property Officer

The FSD Property Custodian and FSD Property Officer are appointed by the CFO or DAD, using USM-222. The Property Custodian has overall responsibility for property accountability of FSD accountable property. The FSD Property Officer manages day-to-day property accountability. In FSD, a Property Officer Assistant (a contractor) provides support to the Property Custodian and Property Officer.

4.6 Continuity of Operations Plan (COOP) Coordinator

The FSD Continuity of Operations Plan (COOP) Coordinator is appointed by the CFO or DAD, using USM-222. The COOP Coordinator is responsible to develop and maintain an FSD COOP Plan; to coordinate with TOD on COOP actions and issues, and to organize designated FSD employees into COOP emergency response groups (ERG). The COOP Coordinator maintains a hard copy and ensures the COOP plan which is updated and exercised annually (**TACTICAL OPERATIONS-22/24, eSAG**). See [USMS Policy Directive 17.24 Continuity of Operations](#).

5. Appendix

5.1 New Employee Tools

Link	Description
▼	
Form USM-394	Personal Identity Verification (PIV) / Building Access Card Request Form
Form USM-350	Travel Card for Individually Billed Account (Individual GTA) Form
LearnUSMS	LearnUSMS (USMS Learning Portal)
USMS Purchase Card Manual	USMS Purchase Card Manual
Unified Financial Management System (UFMS)	FSS Intranet Home with a link to Unified Financial Management System (UFMS) Login
USM-169	ITD User Account Request
USM-222	Additional Duty Designation

5.2 Administrative Tools

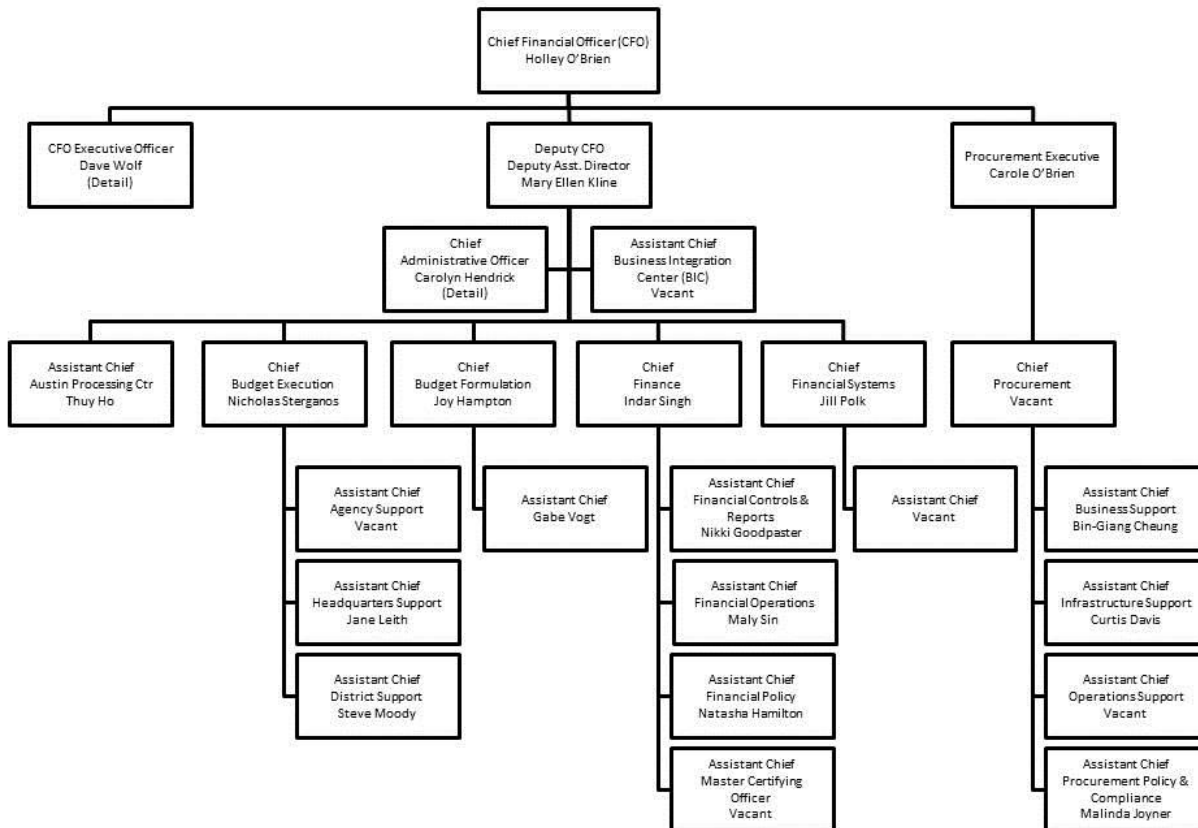
Link	Description
▼	
E2 Solutions (USMS Travel Site)	E2 Travel Solutions
Electronic Self Assessment Guide (eSAG)	Electronic Self-Assessment Guide (eSAG)
BENEFEDS	Employee Benefit Program
USM-399	Telework Request
USM-325	Hand Receipt
USM-398	Flexible Work Options
USM-199	Separation Checklist
USM-540 Performance Appraisals	USM-540 Performance Appraisals
SF-52	Request for Personnel Action/Termination
USM-571	UFMS Disconnect

USM-128	Online Parking Application
USM-431	Online Transit Application
USM-157A	Purchase and Fleet Credit Card Micro-Purchase Approval Request
OF-306	Declaration for Federal Employment
DOJ-555	Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act
USM-463	Annual Safety Assessment

5.3 Policy Directives

Link	Description
▼	
USMS Policy Directive 1.2	Outside Employment
USMS Policy Directive 3.24	Leave Administration
USMS Policy Directive 3.16	Within Grade Increases
USMS Policy Directive 17.7	Personnel Security
USMS Policy Directive 3.23	Telework
USMS Policy Directive 3.22	Flexible Work Schedule
USMS Policy Directive 7.4.3	Headquarters Parking
USMS Policy Directive 7.8	Employee Transit Program
USMS Policy Directive 1.2	Expenditures for Commemorative and Collectible “Trinket” Items.
USMS Policy Directive 7.2	Vehicle Use and Maintenance
USMS Policy Directive 7.1.2	Property Acquisition, Utilization, Disposal
USMS Policy Directive 7.1	Management Support
USMS Policy Directive 1.4	Records Management
USMS Policy Directive 1.2	Equal Employment Opportunity
USMS Policy Directive 17.24	Continuity of Operations

5.4 FSD Organization Chart



5.5

Memo Request to CFO for Above GSA



U.S. Department of Justice

United States Marshals Service

Division or District

Date

MEMORANDUM TO: Holley O'Brien

Chief Financial Officer

FROM: [Click here to enter text.](#)

SUBJECT: Request for Higher Than Coach-Class [Air or Rail](#) Travel

TRAVELERS: [Click here to enter text.](#)

I am submitting the attached documents and justification for Higher Than Coach-Class [Air or Rail](#) ([pick one](#)) Travel for my proposed travel to ([location](#)) and return on the following dates: [start date through end date](#). I understand that the Principal Deputy (Deputy Director, United States Marshals Service), is the approving authority for this request, per USDOJ Policy Memo 1400.04. The purpose of this trip is ([provide explanation of purpose of trip – justification for higher than coach-class travel should be entered in next paragraph](#)).

- I am requesting permission to use Higher Than Coach-Class [Air or Rail](#) travel for transportation for my above mentioned travel. Justification for this class of travel is ([enter explanation here](#)). I have reviewed applicable policy concerning Higher than coach-class travel. My USM-356A is attached.

COST	GSA-Allowed	Actual Cost
Lodging	NA	NA
Airfare/Rail fare	\$xxx.xx Round Trip	\$x,xxx.xx Round Trip

Request is:

Recommend Approval

Recommend Disapproval

Holley O'Brien

Date:

Chief Financial Officer

U.S. Marshals Service