



Management Services Review Guidelines (MSRG) and Executive Officer Transition Guidance

An Additional Help Document for ADS 527

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I. INTRODUCTION

The Management Services Review Guidelines (MSRG) are compiled to provide a basic reference point for the evaluation of all the segments of administrative management services at Missions which are traditionally managed by Executive Officers (EXOs). This document is designed to support a broad management assessment of the spectrum of EXO management services, reflecting the Executive Officer function at Missions in operating environments where the majority of general services support is provided under International Cooperative Administrative Support Services (ICASS) operations.

The guidance also may be utilized by Mission management to identify strengths and weaknesses of the organization and assist in times of Executive Officer staff transition. The completion of the questions posed in this document is intended to provide a comprehensive overview of Mission Management Services. Authorities and responsibilities will vary depending upon Mission-specific factors and the cooperating country operating environment.

It is recommended that this checklist be completed with reference to [ADS 527](#) "Role of the Executive Officer" and as part of a broad Management Assessment to inform conclusions and summary narratives of Mission administrative operations.

II. REVIEW GUIDELINES FOR THE FUNCTIONAL QUESTIONNAIRE

Directives or source documents applicable to questions in the sections are identified in the section heading. References to the document are identified by a section number following that question. Some questions have no specific reference. Their existence is justified by general references or by practical, common management concerns.

In some cases the requested responses —Yes, No, N/A (Not Applicable) — will not provide the needed or appropriate answer to the question. In those cases, it is recommended that comments be written next to the question. Written summary explanations are encouraged to provide additional context for strengths and weaknesses of particular responsibilities and to obtain a comprehensive overview of the working environment.

III. PERSONNEL ADMINISTRATION

The quality of USAID's personnel resources, the development and utilization of skills, the ability to accomplish the work of the Agency, and personnel costs are all critical to Mission success and must be a major concern at every level of management. USAID's effectiveness depends on improving the management of its human resources. To fulfill their personnel management responsibilities, USAID managers and supervisors must know how personnel management activities are contributing to employee productivity and organizational effectiveness within the framework of applicable laws, regulations, and public policies.

A. Personnel Management (General)
Yes/No/NA

1. If Mission is receiving regional support in human resources, describe the adequacy of that service.
2. If Mission provides regional human resources support:
 - a. What posts are receiving support?
 - b. What comments do you have on the effectiveness of the arrangement?
 - c. Does a memorandum describe the arrangement?
 - d. How often does the receiving post get attention through visits, phone, email, etc.?
 - e. Who fills in for the regional employee when he or she is away?
 - f. Are regional responsibilities included in the Mission employee's performance plan and does the receiving post provide input to the regional employee's rating?
3. If funding and staff levels are not adequate to meet the Mission's human resources needs, describe what additional resources are needed.
4. Are staffing levels in all workforce categories adequate for the goals and objectives of the Mission?
5. Are there any established positions that have remained unfilled two months or longer during the past year? What was the impact? How does the Mission cope with the vacancies?
6. Are Mission employees assigned work that could be acquired from private sector sources or performed more cost-effectively in Washington or at a regional center?
7. Throughout the Mission, are expatriate staff performing work that could more economically and efficiently be performed by local staff without violating security standards?
8. Does the Mission use alternative methods, such as revised work schedules, to eliminate overtime or reduce overtime to a practical minimum?
9. Do supervisors of all categories of personnel perform timely, annual evaluations of all employees in accordance with Mission procedures, or other guidance as appropriate for each category of employee?

10. Is the Mission staffing data in the Agency's electronic overseas personnel system accurate and complete? Does the Mission regularly input data into the system and provide the Semi-Annual Workforce Planning Report to HCTM?
11. Does the Mission have personnel with access to the Department of State Executive Agency Personnel System (EAPS), and do such individuals monitor the data in EAPS to ensure that the information is up-to date and mirrors data in the USAID Post Personnel database?
12. Does the Mission have a designated USDH who certifies that the EAPS data has been reviewed and that necessary notice to correct data has been submitted via EAPS to DoS HR officials?
13. Does post follow the regulations and restrictions on payment of premium compensation to Foreign Service Officers? ([3 FAM 3130](#))
14. Is Personally Identifiable Information (PII) protected and does the Mission handle and dispose of personnel records according to Information Security standards and Records Disposition Schedules?
15. Does the post and USAID Mission have equitable and effective incentive awards programs for all categories of employees?
16. Does the USAID Mission participate in the Post Incentive Awards program? Is the Program administered properly and meet USAID requirements?
17. Does the Mission have an active CLO providing a USAID-specific orientation program for newly arrived U.S.-citizen employees and eligible family members? Is it effective? ([2 FAM 113.7-4](#))
18. Are all personnel records for all categories of personnel set up, maintained and disposed of according to regulations? ([ADS 502](#), [ADS 309](#) and [3 FAM 2350](#)) In addition to contract and performance information, do these files include:
 - a. Medical forms?
 - b. Beneficiary info?
 - c. A signed acknowledgement of employee's review of news standards of conduct?
 - d. Emergency locator info?
 - e. Completed check-in forms?
 - f. Completed check-out forms?

19. Has the Mission established and maintained effective procedures for processing and safeguarding post mail and pouch materials? ([ADS 513.3](#))
20. Describe expatriate and local staff morale at the Mission. If morale is less than optimal, what is the likely cause(s)? Has Mission management taken steps to address and improve the morale of the workforce?
21. Is the Mission aware of USAID Staff Care resources and able to access them? Wellness programs are considered a best practice, has the Mission developed any for staff?
22. Does the Mission utilize the Agency On-the-Spot Awards program to recognize staff performance? Is the program managed effectively and consistently across the Mission?
23. Mentoring programs have been described as a best practice for staff development, retention and job satisfaction. Has the Mission established a mentoring program for any or all categories of staff? What have been the challenges with the program?
24. Does the Mission support a large number of TDY personnel? If so, have programs and procedures been developed to reduce the administrative burden on Mission staff and address issues specific to TDYers such as ensuring fund sites are provided prior to the trip to cover the cost of services, eCCs approved prior to arrival and a “welcome” or logistics guide developed to enable them to have a safe, effective and pleasant TDY experience at Post?

B. U.S. Direct-Hire (USDH) Employees

1. Are Foreign Service and Senior Foreign Service performance evaluation programs plans established and administered in the Mission in accordance with Agency regulations and policies? ([ADS 461](#))
2. Are quarterly accomplishment conversations being conducted with each employee during the rating period? If not, how is this being addressed?
3. Are annual performance evaluation forms being completed for each employee?
4. Are employees completing the promotion input form when they are eligible for promotions?
5. Do designated employees submit OGE-278 Public Financial Disclosure Report or OGE-450 Confidential Financial Disclosure Reports in accordance with regulations and Agency policies? ([5 USC Sec. 101, 5 CFR Part 2634](#))

6. Does the Mission complete and transmit arrival/departure notices and other personnel management documents (e.g., SF-1190) to Controllers and offices in USAID/W in a timely manner?
7. Are current OF-126 (FS Residence and Dependency Report) and AID-450-1 (Emergency Locator Information) forms on file at Post and in M/HR for each USDH employee?
8. Is the Post's language program funded and administered to meet the language requirements and needs of personnel in language-designated positions?
9. Do EFM's participate in the post language program?
10. Do arrival and departure procedures adequately meet the needs of employees and family members?
11. Does the post report job opportunities available at post for family members?

C. Personnel Management Aspects of Personal Services Contractor (PSC) Management

The following applies to USPSCs, off-shore and local hire, and off-shore hire Third Country National (TCN) PSCs.

1. Are PSCs managed at post within the scope and limitations of individual contracts and in accordance with Agency regulations and policies? ([AIDAR Appendices D and J](#) and [ADS 309](#))
2. Are any PSCs accomplishing work that properly should be assigned to a USDH employee?
3. Are TCNPSCs contracted in accordance with [ADS 309](#)?
4. Is the work of PSCs evaluated on an annual basis as stated in [AIDAR Appendices D and J](#) and [ADS 309](#)? Has the Mission established policy requiring that performance plans, including work objectives, be established for each employee?
5. Do all off-shore hire USPSC and TCNPSC files include proof of current Medical Evacuation insurance?
6. Do all PSCs annually receive and submit financial disclosure reports (OGE-450 Confidential Financial Disclosure Reports), if appropriate, for their position? (AIDAR Appendices D and J; ADS 309; 5 CFR part 2634, Ethics in Government Act 1978 as amended, CIB 93-17)
7. Is the use of compensatory time strictly controlled according to Agency policy? ([AIDAR Appendix D](#))

8. Are USPSC employees managed at post within the scope and limitations of individual contracts and in accordance with Agency regulations and policies?

D. Foreign Service National Direct-Hire (FSN), Cooperating Country National PSC (CCN) and Locally-Recruited TCN Employee Management

1. Are work objectives of local employees established in writing, achievable, consistent with the management goals and objectives (or Strategic Objectives) of the office in which they work, and appropriate for their position?

2. a. Do position descriptions accurately reflect actual duties and responsibilities?

b. Does the Mission follow procedures shown in the Interagency Local Employees Position Classification Handbook? (3FAH-2/LEPCH, [ADS 495](#), [ADS 309](#))

c. Is each position recertified annually?

3. a. Does the local compensation plan accurately reflect the local job market in different skill categories so that the Mission is able to recruit and retain qualified local employees in all skill categories and at all grade levels?

b. Are career development systems in place at the Mission to complement the local compensation plan in recruitment and retention of qualified employees?

4. Does the Mission have a system in place, in keeping with local law, which allows disciplinary action or discharge of employees for cause or for not meeting minimum performance standards? ([3 FAM 7710](#))

5. Is an orientation system in place so newly hired employees are briefed on:

a. USAID standards of conduct?

b. Their duties and responsibilities?

c. How they relate to others within the Mission and the Embassy workplace?

d. To whom they are responsible in all phases of their work?

6. Have all employees who travel to the U.S. on official business undergone medical examinations, obtained clearances to travel, and enrolled in an FSN Health and Accident Coverage (HAC)? ([ADS 496](#))

7. Have all traveling employees been instructed about regulations and procedures of official travel and insurance requirements before commencing travel? ([ADS 496](#))
8. Does the Mission have an Incentive Awards program and/or participate in a Joint Agency Incentive Awards Committee? ([ADS 495](#))
9. Do supervisors of probationary or trainee FSN employees perform evaluations more than once per year as necessary?
10. Does the Mission have an interagency RIF plan and out-placement procedure in place?
11. Does Post have a uniform recruitment policy for hiring local employees?
12. Do all FSN employees complete pre-employment medical exams before being contracted?
13. Are all locally recruited TCN employees considered FSNs and compensated (salary and benefits) according to the local compensation plan?
14. What is the date of the last revision to the post's LE staff handbook? Does the handbook explain conditions of employment, ethical standards, EEO principles, and the disciplinary process?
15. Are USAID HR staff engaged and knowledgeable about local labor law and the contents of the LE handbook as this applies to employees?
16. Are FSN, CCN and TCN employees managed at the post in accordance with Agency policies and standards?

E. Personnel Management (Orientation and Training)

1. Does the Mission have a budget and Training Plan or Mission Order for staff training, detailing procedures and processes for managing training for all categories of expatriate and local staff?
2. Do all Mission personnel receive annual ethics training, as appropriate for their position? (5 CFR Part 2635; EO12674, Part 1)
3. Has a Mission Training Committee been formed to review and approve training requests and ensure the equitable management of training and career development opportunities?
4. **a.** Do all newly-arrived or newly-hired employees receive an orientation to Post operations, country conditions, etc.?

- b. Does orientation include, when appropriate, a health unit orientation?

IV. TRAVEL AND TRANSPORTATION

All references in parenthesis refer to the Uniform State/USAID Foreign Service Travel Regulations as found in [ADS 522](#) and [ADS 523](#) and the provisions of [14 FAM](#). Innumerable questions could be asked concerning travel regulations and practices. The questions listed below concern common errors or abuses of regulations that are more likely to be found.

A. General

Does the Mission adhere to FAM, ADS, AIDAR Appendix D & J and DSSR regulations and guidance and Post policies that govern the procedures and processes for authorizing and acquiring official travel, transportation, and related allowances?

- a. [ADS 522](#), Performance of Temporary Duty Travel in the U.S. and Abroad
- b. [ADS 523](#), Foreign Service Assignment Travel
- c. [ADS 309](#), Personal Services Contracts with Individuals
- d. Department of State Standardized Regulations ([DSSR](#))
- e. [14 FAM 500](#)
- f. [7 FAM 1300](#)
- g. Federal Travel Regulations ([FTR](#))
- h. [USAID Acquisition Regulation \(AIDAR\)](#), Appendices D & J

Are Mission Orders (implementing procedures) relative to travel and transportation periodically reviewed and, as necessary, revised and re-issued in order to remain in compliance with USAID/W directives?

B. Travel

1. Do employees submit vouchers for reimbursement of travel expenses within five days after completion of travel? ([ADS 522](#))
2. Do travelers turn in unused tickets immediately upon arrival at Post?
3. Do travelers give receipts, or written explanation for lack of receipts, for taxi fares over \$75 and other expenses over \$75?
4. Have Agency heads at Post, or persons they delegate in writing, signed all travel documents prepared at Post?

5. Has the Authorizing Officer documented the reason for any exceptions to the travel regulations? ([ADS 522](#))
6. If an employee's family member has been on advanced return orders at the Government's expense, did the employee sign a repayment agreement before orders were issued?
7. If an employee or dependent performs indirect travel, is the travel treated as cost constructive and are the travelers charged for all costs that would exceed the usual costs to the USG if the authorized travel was performed on a direct, usually traveled route?
8. If an employee or dependent deviates from the usually traveled route for personal convenience, and there are additional costs because of the deviation, is the employee charged for the additional costs?
9. Does the Mission, in coordination with the Embassy, ensure currency and adequacy of country per diem rates based on periodic review and Department of State action?
10. Does the Mission obtain all air travel tickets from the designated Post Travel Management Center (TMC), as required?
11. Are the USAID staff responsible for managing the travel function knowledgeable and effective in supporting official travel?
12. Is the post's designated Travel Management Center effective and efficient in supporting USAID official travel? Are TMC staff customer service-oriented?
13. Are all Travel Authorizations (TAs), for both TDY and entitlement travel, issued from the Agency's current electronic travel management system? If not, what are the exceptions and why? Are Open Authorizations utilized to streamline operations where appropriate?
14. Has the Mission authorized Premium Class Air Travel for any staff? If so, were the TAs documented appropriately and filed with all required certifications to justify its use per [ADS 522](#)?

C. Transportation

1. Are the transportation services acquired by the USAID Mission from the ICASS Service Provider effective, efficient and meet the needs of the Agency?
2. Are government paid replacement Privately Owned Vehicle (POV) shipments made only four years after the vehicles entered the country?

3. Are the shipment of personal effects (HHE and UAB) for USAID personnel well managed? Have USAID employees reported loss or damage or unusual delays associated with personal effects shipments?
4. Does Mission management (EXO) monitor the performance of the ICASS Service Provider in managing the shipment and delivery of USAID equipment, furniture, furnishings and supplies?

V. INTERNATIONAL COOPERATIVE ADMINISTRATIVE SUPPORT SERVICES (ICASS)

A. General

1. Are the ICASS services provided at Post managed effectively and adequate to support USAID personnel, facilities and implementation of USG development programs? ([ADS 520](#))
2. Has Mission management reviewed the results of ICASS Customer Service Surveys? Have any issues been discussed with Post management and the ICASS Council?
3. Is the ICASS Council considered to be active and effective? Is the Budget Committee or Post Working Group active and effective?
4. Does Mission management (Mission Director or EXO) regularly attend and participate in ICASS Council and Post Working Group meetings?
5. Does the ICASS Council routinely schedule and conduct key meetings with participating agencies at Post?
 - September #1 - Council and Budget Committee orientation. ICASS Council & Budget Committee
 - November #2 - Initial budget discussed and approved. Forwarded to ICASS Council. Budget Committee
 - November #3 - Initial Budget ratified. ICASS Council
 - February #4 - Workload Count Modification policy review, requests considered; budget methodology. Budget Committee
 - March #5 - Annual Assessment of ICASS Services: Council/Service Provider evaluation of services. ICASS Council
 - April #6 - Final Budget discussed and approved. Forwarded to ICASS Council. Budget Committee
 - April #7 - Final Budget ratified. Strategic review and look ahead to next fiscal year. ICASS Council

- June #8 - Workload Counts and Time Allocation reviewed and approved. Budget Committee
6. Are the ICASS services the Mission receives perceived as better or worse than the prior year? What is the trend of customer satisfaction/dissatisfaction over the past four years?
 7. Are the Mission workload counts reviewed by EXO on a regular basis?
 8. Does the ICASS Council at Post review the percentage of time the Embassy administrative section charges to each ICASS cost center?
 9. Are ICASS reports available for review by participating agencies (USAID EXO) and Budget Committee/Working Group on a regular basis?
 10. Does the Post Budget Committee/Working Group meet regularly to discuss ICASS issues? Has a Post Budget Committee or Working Group been formed?
 11. Does the ICASS Service Provider regularly seek cost savings and economies in administrative operations?
 12. Is DOS Washington (ICASS Service Center) or M/MS/OMD providing answers or feedback to issues at Post, as necessary?
 13. Is an annual assessment of the ICASS Service Provider being done at Post by the ICASS Council?
 14. In the Mission's opinion, is ICASS training needed at Post for ICASS Council members, service providers, and/or customers?

B. ICASS General Services

1. Is the Embassy ICASS Service Provider responsive to the Mission's general service needs?
2. Are ICASS funding and staffing levels adequate to meet the Post's ICASS operations and needs?
3. Are the roles and responsibilities of ICASS employees clearly designated and documented in work requirement statements?

B-1 Residential Housing

- a. Is the Mission an active participant in the Interagency Housing Board?
- b. Does the IAH Board keep written records of its meetings and decisions?

- c. Does the Post have a handbook or Mission Order on its housing policy? Is it updated biennially?
- d. Does the Post have an approved housing profile?
- e. Does the Post make every effort to retain appropriate housing under leases of five years or more?
- f. Does the Mission have leases that exceed locality-type housing standards?
- g. Do alterations, improvements, and repairs ("make ready") to short term-based properties exceed \$5,000?
- h. Is a physical property inventory conducted before the employee moves into a residence, and again upon the employee's departure?
- i. Is a Property Survey Board normally convened to assess property damage and/or losses?
- j. Does Post charge for damage done by employees, their families, or their pets to furnishings or buildings?
- k. Is a physical inspection made of U.S. Government-held quarters before it is occupied and again at least 10 days before an employee permanently departs Post?

B-2 ICASS leases:

- a. Were basic essential provisions included?
- b. Were leases correctly numbered?
- c. Were leases signed by both parties and dated as of last signature?
- d. Were the full names of lessor and lessee on leases?
- e. Were the premises fully identified?
- f. Were the basic terms of the leases for definite times?
- g. Were renewal options included?
- h. Have all leases with rentals in excess of \$50,000 per annum been approved by M/OMD prior to signing?
- i. Have renewals of such leases been approved by M/OMD when the terms of the original lease have changed?

- j. Are security upgrades to U.S. Government-held and privately leased residential leases being funded by the Department of State?
- k. Are facilities furnished by the landlord listed?
- l. If furnishings are leased, is each item listed with condition described?
- m. Is there approval for the USG to make alterations?
- n. Does the USG have the right to waive restoration?
- o. Is the USG exempt from damage beyond lessee's control?
- p. Is rent stipulated in local currency? (Unless permissible under local law)
- q. Are advance payments within Agency limits?

B-3 ICASS Motor Pool Operations

- a. Are Post Motor Pool operations responsive and effective in meeting USAID programmatic and operational requirements?
- b. Does the Motor Pool support USAID site visits and engagement with implementing partners in rural areas?
- c. Are private-sector transportation services acquired to supplement Motor Pool services?
- d. Are USAID staff reimbursed for utilizing public transportation when Motor Pool services are not available?
- e. Is a formal safe driving program in effect?
- f. Are seatbelts available in all passenger vehicles and is mandatory use of the belts being practiced?
- g. Are warning flares or triangular reflectors available in all official vehicles in the event of a breakdown?
- h. Are precautions taken to prevent the use of vehicles by unauthorized personnel, or personnel without an operator's permit?
- i. If USG employees use U.S. Government vehicles for transportation to and from work, has this policy been authorized in writing by the Chief of Mission?
- j. Are standardized charges paid for home to work transportation and is the charge for such transportation reviewed annually?

- k. Are passengers billed for all other authorized use, where appropriate?

B-4 ICASS Personal Property Management

- a. Are Post property management procedures, systems and facilities adequate to meet USAID operational requirements?
- b. Is warehoused USAID property properly marked? Is USAID property kept in a segregated/clearly-defined area of the warehouse or is it co-mingled with property owned by other USG agencies?
- c. Is the ICASS warehouse well-lit, clean and properly organized?
- d. Are annual physical inventories performed to ensure accountability for all USAID-owned personal property?
- e. Does the ICASS Service Provider make electronic or paper copies of all annual inventories to the Mission?
- f. Are the household furnishings and equipment assigned to the Mission Director's residence inventoried annually?
- g. Is the value of the Mission Director's residence inventory of nonexpendable property within the authorized limitation?
- h. Does the Mission Director sign the inventory completed on his residence prior to a copy being sent to M/OMD?
- i. Before disposal of property, does the Accountable or Disposal Property Officer ensure that the item descriptions are complete and proper?
- j. Have all sales of personal property to U.S. Government employees or their dependents been competitive, open to the public, and have U.S. citizen employees purchasing government property obtained the required written certification?
- k. Is program-funded property being disposed in accordance with [ADS 534.3.7.b](#)?
- l. Are property disposal actions reconciled with USAID General Ledger Accounts?

Unless otherwise noted, all references in parenthesis refer to **14 FAM** and ADS provisions.

VI. USAID GENERAL SERVICES

A. Real Property Management

1. Does the Mission own office and/or functional space property in excess of its needs? ([ADS 535](#)) If so, has this property been considered for other agencies' needs?
2. Is "dedicated housing" assigned to the Mission Director within the standards for a family of four at the grade tier corresponding to the position? ([15 FAM 262](#))
3. Where members of a tandem couple are employed by more than one U.S. Government agency and occupy short-term leased space, does each agency pay its share of rent, preparation for occupancy, and operation and maintenance cost?
4. When more than one U.S. Government agency occupies short-term leased space, does each agency pay its share of operation and maintenance cost and rent?
5. Are Trust Funds used to fund rent or other costs for buildings occupied only by USAID personnel?
6. Are USAID employees who are scheduled to permanently depart Post permitted to remain in their assigned quarters after their last day of duty? If so, is approval obtained from the Mission Director?
7. Do telephone payments indicate that only official calls are being paid for by the Government? Is there a Mission Order or a billing process established for when it is necessary to recover costs for personal calls made with official cell phones or office phones?
8. Does the Mission avoid paying taxes on U.S.-owned or -leased real property? If not, has an attempt been made to obtain exemptions?
9. Has any real property been acquired by gifts? If so, was it reported to M/OMD?
10. Has a colocation waiver or exemption notification been obtained for office and functional space acquisition?

B. General

1. Does the Mission provide regional support to any other Posts in the area?
2. Does the Post receive regional support from any other Post?

C. Leases

1. Does the Mission lease properties that are not part of the general Post Housing pool? Does the Mission have M/OMD approval for initial leases that exceed 10 years?
2. Has the Mission obtained approval from M/OMD before signing leases for functional space, regardless of rental cost?
3. Do leases that contain a lease/purchase option indicate M/OMD approval and cite the approval cable?
4. Are copies of leases properly distributed, including a copy to M/OMD?
5. If executed leases deviate from the established model, is a reason for the deviation documented?
6. Upon relinquishment of leased property, does the Mission prepare a memorandum of termination and acquittance to be signed by both parties? Did the Post obtain M/OMD approval to terminate Long-Term Lease and Short-Term Lease functional properties?

D. USAID Vehicle Operations

1. Is a formal safe driving program in effect?
2. Do drivers perform daily safety maintenance checks of vehicles, i.e., brakes, lights, horn, wipers, tires, seatbelts, mirrors, etc.?
3. Are precautions taken to prevent the use of vehicles by unauthorized personnel, or personnel without an operator's permit?
4. Are drivers taught how to prepare a Form SF-71, Operator Report of Motor Vehicle Accident, and is this form in the glove compartment of every vehicle?
5. Are seatbelts available in all passenger vehicles and is mandatory use of the belts being practiced?
6. Are warning flares or triangular reflectors available in all official vehicles in the event of a breakdown?
7. Does USAID Office of Security (SEC) provide an armored vehicle to the Mission Director? If it does not, does the MD vehicle conform to the applicable Post Standardization Plan?
8. If USAID employees, including the Mission Director, use U.S. Government vehicles for transportation to and from work, has this policy been authorized in writing by the Chief of Mission?

9. Are USAID employees, including the Mission Director, billed for home to office transportation and for all other authorized use, where appropriate?
10. Does the Mission Director driver keep a daily use record (Trip Ticket) on Form OF 108 or its equivalent?
11. Are all USAID vehicles entered into the vehicle/fleet information management system? Is the system updated on a regular basis to accurately track vehicle usage and disposition?
12. Have any vehicles been disposed of recently or will be disposed of soon? Were the appropriate approvals obtained and disposal procedures followed? ([ADS 536](#))
13. Are any USAID vehicles operated and maintained by ICASS? Does the Mission have an up-to-date MOU with ICASS outlining the responsibilities and expectations associated with ICASS operating and maintaining USAID owned vehicles?

E. Safety and Security

Each Mission should have a Mission Order on occupational safety and health that clarifies local procedures, practices, and policies regarding the protection of life and property in collaboration with Post management. A sample generic Mission Order on safety and health is available upon request from the M/MS/OMD.

E-1 General Security

1. Has the Mission Director appointed a USAID Unit Security Officer (USO) in writing? ([ADS 561](#) and [12 FAM 420](#))
2. Do all employees hold a valid and appropriate level of clearance /access?
3. Is the storage, processing and reading of national security information conducted in a Controlled Access Area (CAA)?
4. Are new personnel at Post given a security orientation? (**12 FAM 500** and [ADS 568](#))
5. Is a security debriefing conducted for all personnel leaving USAID employment? (**12 FAM 500**)
6. Do employees receive a briefing about sensitive but unclassified (SBU) information as part of their security orientation? ([ADS 545](#))
7. Have employees received a copy of the Information System Security Rules of Behavior for All Computer Network (AIDNET) Users?

8. When was the Emergency Action plan (EAP) last reviewed and updated? (Security Standards 12 FAH 5)
9. Does the Mission request security checks for all local hire employees from the Embassy RSO? ([ADS 568](#), [AIDAR Appendix J](#) and [ADS 309](#))
10. Partner Liaison Security Offices have been established at a number of high threat Posts and at Posts with a challenging operating environment. Missions operating under such conditions may want to consider contacting SEC to discuss the feasibility of establishing an office.

E-2 Personnel Security

1. Have all U.S. citizen employees been cleared through SEC? ([ADS 566](#))
2. Are clearances up-to-date for all USPSC employees? ([ADS 567](#)) If not, corrective action needs to be taken immediately.
3. Are SBU certifications current for local staff?
4. Are FSN, CCN and TCNPSC pre-employment security certifications updated, i.e., current?
5. Are Mission personnel files protected and under the supervisory direction of a security-cleared U.S. citizen employee and designated and trained staff? ([ADS 502](#); 3 FAM 2350 & 7141; [ADS 495.5.11](#); FSNPAH sec.14.5a; FAH H-317; [ADS 309.3.3](#))

E-3 Security Training and Awareness

1. a. Does the Mission's USO receive security-related training from the RSO? ([EO 12958](#))
b. Has the Mission ever requested this training?
2. Are newly assigned employees, TDY personnel, dependents, and contractors briefed regarding security and threat conditions such as terrorism, crime, and street precautions by the RSO and/or Mission USO upon arrival at Post?
3. Are periodic security awareness briefings covering counterintelligence and information security given by the RSO? ([EO 12958](#))
4. If not, does the Mission USO provide a security briefing?
5. Does the RSO/USO conduct annual security refresher training with Mission receptionists, guards, and key USAID personnel? ([EO 12958](#))
6. Are Original and Derivative Classifiers adequately trained regarding their responsibilities? ([EO 12958](#))

7. a. Do all staff receive security training as appropriate for their position and the threat level at Post?

b. In high threat Missions: Do drivers receive special training as appropriate for local conditions, e.g., evasive driving and driving/maintaining armored vehicles? (**12 FAH 5**)

I. USAID Personal Property Management

1. Is all CIO-owned information technology (IT) equipment inventoried and accurately accounted for?
2. Does the USAID Mission maintain any warehouse or storage areas for stocks of IT equipment, Expendable Property or Non-Expendable property?
3. Are stocks of equipment and supplies maintained by USAID property controlled and inventoried?
4. Are the household furnishings and equipment assigned to the Mission Director's residence inventoried annually? ([15 FAM 736.2](#))
5. Is the value of the Mission Director's residence inventory of non-expendable property within the authorized limitation?
6. Does the Mission Director sign the inventory completed document? on his residence prior to a copy being sent to M/OMD?

J. USAID Acquisitions - Simplified Acquisition Process Review

1. Are USAID Mission acquisitions made in accordance with the Federal Acquisitions Regulations Part 13 and other requirements and Agency regulations and policies? ([ADS 300](#), [302](#) and [AIDAR](#))
2. Procurement Request – Suitable Requirement
 - a. Are the specifications appropriate?
 - b. Are the services non-personal?
 - c. Are all procurement requests entered into GLAAS?
3. Competition and Publicizing:
 - a. Was the purchase a Small Business Set-aside (U.S. purchase only)?
 - b. Was a required supply source used?
 - c. Was a written solicitation prepared?

d. Was the solicitation posted in a public place per **FAR 5** and **13** requirements?

e. Was competition obtained?

4. Documentation to support simplified acquisition:

a. On what was price reasonableness based:

Competitive quotes _____ ? Historical pricing _____ ?

Current price lists _____ ? Catalog prices _____ ?

Advertisements _____ ? Similar items _____ ?

Value analysis _____ ? CO market research _____ ?

b. Was a sole source justification provided?

c. Was an Abstract of Quotations included?

d. Is the rationale for vendor selection documented?

5. Purchase Order (Form SF-347)

a. Is a Fixed Price specified?

b. Are Prompt Payment Discounts applicable?

c. Are Supplies/Services specified?

d. Are Inspection and Acceptance specified?

e. Is the delivery date specified?

f. Has the Contracting Officer signed and was it within warrant limits?

g. Does the P.O. contain all applicable current clauses?

h. Is the Neg memo included in the file?

6. Were goods received or appropriate follow-up made?

7. The Purchase Card is the preferred purchase mechanism and payment method for procurements below the simplified acquisition threshold. Does the Mission utilize purchase cards? Has the program been established and operate in accordance with the guidelines in [ADS 331](#)?

K. USPSC Contracting

1. Do USPSC contracts in the USAID Mission adhere to Agency regulations and policy? ([AIDAR Appendix D](#) and [ADS 309](#))
2. Has the CO cited the corrected PSC statutory authority? See FAR 37.104. Does the Contracting Officer have the appropriate warrant authority?
3. Has the contractor signed the contract?
4. Are funds available, have forward funding rules been followed, and was obligation appropriate?
5. Does the Statement of Duties require performance of functions reserved for federal employees (exceptions must be approved by AA/M)? See [AIDAR Appendix D](#).
6. Has the position level been set IAW [AIDAR Appendix D](#) and [ADS 309](#)?
7. Are the solicitation and negotiation memorandum in the file?
8. Is the selection memo with the results of the interviews, including names and rankings, in the file?
9. Does the file contain a signed Offeror Information Form from the contractor?
10. For Resident Hire USPSCs recruited from within the cooperating country:
 - a. IAW **ADS 309mad**, if a class justification is used, is there a certification from the CO that the contract was awarded pursuant to the requirements of the class J&A under the authority of **AIDAR 706.302-70(b)(1)**, that its conditions were met, and the cost is fair and reasonable (may be included in negotiation memo)?
 - b. If the class J&A was not used, and other limited competition was used, does the file contain a Justification for Other than Full and Open Competition? See [ADS 309mad](#).
 - c. Was the position publicized locally in accordance with Mission policy? See [ADS 309mad](#).
11. For USPSCs recruited from outside the cooperating country, is there evidence that the position was properly advertised on FedBizOpps? See [ADS 309mad](#).
12. Is a determination of resident hire or international hire appropriate?
13. As applicable per ASIST guidance, does the file contain: ([ASIST Appendix A, ASIST Filing Standard](#)).
 - a. Security determination?

- b. Medical clearances for overseas PSCs?
 - c. Emergency locator information?
 - d. Approved J&As, deviations, if applicable?
 - e. Completed W-4 Form?
14. Negotiation memorandum – Does it discuss:
- a. The number of applicants and how they were screened to the interview level?
 - b. How the contractor was assessed against the evaluation factors in the solicitation, and selected based on technical qualifications?
 - c. How the position level for the contractor was established?
 - d. The determination that the compensation rate is reasonable?
15. Does the file contain only one contract?
16. Is the Checklist for Personal Services Contracts in the file and is it accurate? See ASIST guidance.
17. Is the contract document complete and current, including:
- a. Cover Page, AID 309-1, with the ethics code at the top of the page appropriately marked?
 - b. Schedule (including the Statement of Duties)?
 - c. **AIDAR Appendix D** Contract Clauses?
 - d. Required and as applicable FAR clauses?
 - e. Employee Review of Standards of Conduct?
 - f. Resident Hires: appropriate contract clauses deleted?
18. Is the individual's rate of compensation within the position's market value?
19. Is the individual's compensation rate "capped," if it is at the top step in the range?
20. Are all USPSC and off-shore hire TCNPSC contracts entered into GLAAS or the current Agency acquisition and assistance system?

L. CCN/TCN PSC

1. Do CCN and TCNPSC contracts in the USAID Mission adhere to Agency regulations and policy, ([AIDAR Appendix J](#) and [ADS 309](#)), as applicable, or AIDAR Appendix D for those specific approved provision exceptions for off-shore hire TCNPSCs.
2. Has the CO cited the corrected PSC statutory authority? See FAR 37.104. Does the Contracting Officer have the appropriate warrant authority?
3. Has the Contractor signed the contract?
4. Are funds available, have forward funding rules been followed, and was obligation appropriate?
5. For TCNPSC positions, has the contracting preference been addressed and documented? See [ADS 309](#).
6. Has the job been classified IAW HCTM managed policies? See [ADS 309.3.3.2](#)?

OR

7. Has the Mission Director approved an exception from the local compensation plan? See **AIDAR Appendix J, sec. 4(c)(2)(ii)(A) or (B)**.
8. Is the solicitation in the file? See [ADS 309mad](#).
9. Is the selection memo with the results of the interviews, including assessments against the evaluation criteria in the solicitation, and rankings, included in the file?
10. Does the file contain a signed offeror information form from the Contractor?
11. IAW [ADS 309mad](#), is the CO's certification that the contract was awarded pursuant to the class J&A, under the authority of **AIDAR 706.302-70(b)(1)**, that its conditions were met, and the cost is fair and reasonable in the file (may be included in negotiation memo)?
12. If the class J&A was not used, and other limited competition was used, does the file contain a Justification for Other than Full and Open Competition? See [ADS 309mad](#).
13. As applicable, does the file contain:
 - a. Security determination?
 - b. Medical clearance?
 - c. Emergency locator information?
 - d. Approved J&As, deviations, if applicable?

e. As applicable, a record that Agency conflict of interest requirements have been requested (OGE 450)?

f. A record that Agency conflict of interest requirements have been met?

14. Does the file include a negotiation memorandum that discusses:

a. The number of applicants and how they were screened to the interview level?

b. How the Contractor was assessed against the evaluation factors in the solicitation, and selected based on technical qualifications?

c. How the position classification level for the Contractor was established?

d. The determination that the compensation rate is reasonable?

e. For TCNPSCs, address the contracting preference for CCNPSCs or USPSCs per [ADS 309](#).

15. Does the file contain only one contract?

16. If a ladder position, is the position classified IAW current policies, and were the terms of evaluation and eligibility for successive ladder grades clearly indicated in the solicitation and contract award?

17. Is the Checklist for Personal Services Contracts in the file and checked accurately? See ASIST guidance.

18. Is the Contract document complete and current including:

a. The Cover Page, (AID 309-1) with the ethics code at the top of the page appropriately marked?

b. The Schedule (including the Statement of Duties)?

c. **AIDAR Appendix J** Contract Clauses?

d. Required and as applicable The FAR clauses?

e. The "Employee Review of the New Standards of Conduct"?

19. Is the optional schedule/MFD procedure used to fund the contract?

a. See [ADS 309](#) regarding mass modifications to update and reconcile obligations.

b. Is the optional schedule language in the contract?

c. Has the CO signed the necessary funding modifications?

20. Are off-shore hire TCNs authorized R&R? Is there a deviation on file to authorize R&R, including Mission Director approval? See **AIDAR Appendix J**, contract clause #9, paragraph (j) and [ADS 309](#).

VII. COMMUNICATIONS AND RECORDS

A. General

1. Does the USAID Mission adhere to the requirements of [ADS 502](#)? Has an in-house Communications and Records (C&R) section been established? If not, under what arrangements are the services being provided?
 - a. Is the service satisfactory?
 - b. If not, has a Mission Order been published implementing Agency C&R policies?
2. Are C&R staff provided adequate supervision in implementing procedures for records disposition, destruction of files, and training to secretaries and/or other file custodians, and assisting Mission offices?
3. Do local staff handle unclassified mail, files, and related operations? Do they track all incoming official mail (host country government partners, local counterparts, unsolicited proposals, etc...)?
4. Does the Mission have an active communications training program for secretaries and/or other file custodians?
5. Are files current, accurate, and arranged in a systematic manner, i.e., alphabetical, numerical, and chronological? ([ADS 502](#))
6. Does the Mission have a current file plan?
7. Are record storage and shipping boxes packed in accordance with ADS 502?
8.
 - a. Does the C&R supervisor make annual review of records in the offices and in local storage?
 - b. Have records authorized for destruction in accordance with the Disposition Schedule been destroyed?
9. Has the Mission established a proper disposition schedule for its electronic records?
10. Has the Mission established procedures to ensure proper handling and accurate delivery of official mail?

11. Does the Mission have a numbering/tracking system for all official outgoing mail?
12. Does it store those records per Agency guidance and provide the Mission Director with a weekly reading file of all official incoming and outgoing correspondence?
13. Is there a system for managing/tracking, distributing and retaining all Mission Orders and Mission Notices?

VIII. DISASTER RELIEF

Unless otherwise noted, all references refer to the OFDA Field Operations Guide.

1.
 - a. Does the Post have a designated Mission Disaster Relief Officer (MDRO) complete with name and telephone numbers (day and night)?
 - b. Has this information been given and updated as necessary to the Office of U.S. Foreign Disaster Assistance (OFDA) in USAID/W and the regional OFDA representative?
 2. Does the Post have a Mission Disaster Relief Plan (MDRP) and a Prevention, Mitigation, and Preparedness (PMP) plan filed with the Post's Emergency Action Plan (EAP)? (Regional OFDA offices should assist in development and review of MDRPs and PMPs to ensure uniformity and comprehensiveness).
 3.
 - a. Are administrative staff trained and aware of their responsibilities in the event of a disaster in order to provide timely and consistent response to various disaster relief efforts, including support to disaster response teams (DART) as needed?
 - b. Are the Post's management and controller, procurement, and administrative staff aware of their responsibilities to justify procurement, obtain receipts and other documentation, and provide accountability for all uses of U.S. Government funds and property in the disaster relief efforts?
 4. Are Mission Critical positions identified in an event of a disaster? Has the list been shared with Post management? Are employees aware of their responsibilities in an event of a disaster?

IX. INFORMATION MANAGEMENT

A. General

1. Is the Mission in compliance with the provisions of [ADS 545](#)? Are all USAID standard software applications installed?
2. Are there adequate protections/procedures against computer viruses?
3. Is a backup procedure in place?

4. Is there off-site storage of backup media?
5. Is the network operating up-to-date software?
6. Have any non-authorized/unofficial copies of software been installed?
7. Is a current and complete inventory of computer equipment maintained?
8. Is the security of the core computer equipment (i.e., servers) protected?
9. Are user passwords changed regularly and in accordance with CIO policy?
10. Does the Mission have documented operational procedures established, e.g., backup schedule, network/wiring diagram, VSAT cutover procedures, emergency phone numbers, procedures for responding to end-user requests for assistance, etc.?
11. Does the Mission have an inventory of systems software as well as systems hardware, components, and peripheral devices by location?
12. Has the Mission worked with CIO to establish an IT Procurement Plan?
13. Is the network installed and maintained in accordance with CIO standard Network Operations Guidelines?
14. a. Is there a regular means of communication, such as weekly staff meetings, between the IT staff and Mission Management (EXO)?
 - b. Are goals set and plans in place for obtaining these goals?
 - c. Are monthly status reports provided by IT staff to Management reflecting progress?
15. Does the Mission maintain a spare parts inventory?
16. Does the Mission have a local maintenance contract for hardware/software support not provided by CIO?

B. Information Security

The following questions are intended to be used in assessing compliance with federal and USAID information systems security policies, procedures, and regulations governing electronic data processing and storage.

B-1 IT Personnel Security Requirements

1. Do all members of the system staff and users with special access privileges meet the requirements for sensitive positions outlined in [ADS 561](#) and [ADS 568](#)?

2. Have all personnel accessing the system received a favorable background check conducted by SEC or the RSO?
3. Have user access privileges been structured to reflect the separation of key duties?
4. Have all rooms housing central processing units or servers been designated limited access areas?
5. Is a "Visitors Log" (AID Form 545-6) maintained for all people entering the computer/server room who do not have unescorted access privileges?
6. Is an up-to-date "Authorized Access List" (AID Form 545-2) posted near the entrance to rooms housing the central processing units or servers?
7. Is access to special system software, utilities, and functionality that could be used to gain unauthorized access to application data and programming code limited to a minimum number of authorized users?
([ADS 545](#))
8. Is all software operating on the system either approved by M/CIO for operation on the system or appropriately licensed to USAID for operation on USAID systems?

B-2 IT Technical Security

1. Have operating system software and application software security controls been appropriately implemented, in accordance with the provisions of [ADS 545](#)?
2. Is the system audit trail operating?
3. Has the system audit trail been reviewed for anomalies and access violations on a regular basis? What is the schedule?
4. Are users restricted to specific workstations and printers on an individual basis?
5. Are unsuccessful log-on attempts restricted to three, and do keyboards lock out the user after three unsuccessful attempts?
6. Are all users required to utilize a PIV and to enter a unique user ID to gain access to the system?
7. Are passwords randomly selected and do they consist of at least seven (eight or more is preferable) alphanumeric characters?
8. Have passwords been changed within the last 90 days?

9. Has the audit trail been archived and retained for at least 30 days?

B-3 IT Administrative Security

1. Have U.S. citizens with Secret security clearances been formally appointed ISSO and alternate ISSO?
2.
 - a. Have all personnel accessing the IT system been formally granted system access privileges via the form AID Form 545-4, USAID Computer System Access and Termination Request?
 - b. Have all users received security training and signed form AID 545-1, Unclassified Automated Information systems Request Acknowledgement?
 - c. If a user has SBU access, have both forms AID Form 545-4, Computer Access and Termination Request, and 545-5, Sensitive Data Nondisclosure Agreement, been completed to document that access?
3. Are all active user IDs and passwords assigned to personnel currently working in the facility supported by the system?
4. Have user access privileges been reviewed within the last year? Are PIV and PIV-A cards utilized and controlled?
5. Have user IDs/passwords supplied by the vendor resident on the system, e.g., IBMUSER, CSG, SYSTEM, FIELD, TEST, been deleted?
6. Has the system and its associated storage media been browsed to ensure national security information is not being processed/stored on the system and privacy data is being safeguarded appropriately?
7. Is SBU information only processed on authorized systems?
8. Have system equipment and media used to process and store SBU information been appropriately labeled?
9. Are SBU media appropriately stored?
10. Have procedures for transporting system equipment and media been developed by the site ISSO and system manager/administrator?
11. Are logs kept of all requested/performed maintenance service?
12. Is there confirmation that no classified national security information has been processed, printed, or stored on the system?
13. Is a central file maintained and up-to-date?

14. Are system data, file, and record backup procedures regularly implemented?
15. Have all systems users received information systems security awareness training within the last year?
16. Is a systems operation log maintained?
17. Have appropriate systems been approved to process SBU data?

B-4 IT Physical Security

1. Does the USAID Mission adhere to all IT security requirements? ([ADS 545](#)).
2. Is there a complete and up-to-date inventory of all system components and peripheral devices by location?
3. Describe your overall network topology including numbers of servers, workstations, routers, and switches for OpenNet, ClassNet, and DINs.
4. Describe the conditions of the unclassified and classified IT server rooms (e.g. adequate physical conditions, space, wiring/cabling), including any planned upgrades, renovations or moves.
5. Describe any use of network tools or activities to monitor performance or identify and assess Post's risk and vulnerabilities.

B-5 Emergency Preparedness

1. Describe what IT/communications procedures have been established to address Post-specific vulnerabilities (natural disaster, bomb threat, fire, riot, etc.).
2. Describe the condition of the alternate command center, such as supplies and equipment for emergencies.
3. Describe Post's data recovery strategies and preventive controls to reduce the effects of system disruptions.
4. Has an off-site, duplicate IT system been established and maintained to ensure continuity of operations (COOP) and access to AIDNet and essential USAID systems in the event personnel are denied access to the USAID Mission?

C. Cyber Security

1. What procedures has the ISSO implemented at the Mission to monitor and educate system users? ([ADS 568](#))

2. What procedures has Post established to manage information security incidents?
3. Describe the process for reviewing audit logs.
4. Have USAID employees complied with all CIO-required IT training?

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