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Management Services Review Guidelines (MSRG)

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

**Management Services
Review Guidelines (MSRG)**

**Bureau for Management
Overseas Management Support (M/OMS) Office
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U.S. Agency for International Development

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Management Services Review Guidelines

I. INTRODUCTION

The Management Services Review Guidelines (MSRG) were compiled to provide a basic reference point for the evaluation of all segments of administrative management services at Missions. This document is designed for broad management assessment of the entire Mission spectrum of Executive Office Support Services. It is not meant to be comprehensive but is only a management tool that the Executive Officer and Mission management may use to identify strengths and weaknesses. Individual authority and responsibilities vary by position as described in each position description.

The checklists reflect changes to the referenced directives and guidance as of May 2003. Amendments, changes, and/or addenda to these directives received after this date will be incorporated as appropriate.

The objective of the review is to

- Provide Mission management with an evaluation of management services, with particular emphasis on compliance with U.S. Government regulations; and
- Provide periodic personal contact between personnel in the office of Overseas Management Support (OMS), USAID/W, and Mission administrative offices to promote mutual understanding of Agency policies applicable to solving any problems or concerns relating to administrative support services.

II. REVIEW GUIDELINES

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 references in general or by common sense.

Blank, lined spaces are provided to the right of most review items. However, in some cases the requested responses —Yes, No, N/A (for not applicable) — will not provide the needed or appropriate answer to the question. In this case, write your comments next to the question.

The level to which you review each item will be determined individually. Obviously, responses that raise further questions will require further investigation. Also note that for questions that request a time, number, date, or other such information, spaces have been provided in the text of the question or immediately following the question.

III. GENERAL SERVICES

A. Real Property Management

Unless otherwise noted, all references in parenthesis refer to 6 FAM 700 and ADS 535.

A-1 General	Yes/No/NA
1. Has Post established an Interagency Housing/Rent Control Board? (721, 722)	_____
2. Does the Board keep written records of its meetings and decisions? (722.3)	_____
3. Does the Post have a handbook or Mission Order on its housing policy? Is it updated biennially? (722.5)	_____
4. Does the Post have an approved housing profile? (723.4)	_____
5. Does the Post make every effort to retain appropriate housing under leases of five years or more? (723.5 b, 733.2)	_____
6. Does the Mission have leases which exceed locality-type housing standards? (723,731)	_____
7. Does the Mission own office and/or functional space property in excess of its needs? (714.2) If so, has this property been considered for other agencies' needs?	_____
8. Is "dedicated housing" assigned to the Mission Director within the standards for a family of four at the grade tier corresponding to the position? (724.5-2)	_____
9. Do alterations, improvements, and repairs ("make-ready") to short-term-based properties exceed \$5,000? If so, was prior approval received from M/OMS? (733.1)	_____
10. Are security upgrades to U.S. Government-held and privately leased residential leases being funded by the Department of State? (717.5)	_____
11. Does the Mission charge for damage done by employees, their families, or their pets to furnishings or buildings? (725.5)	_____
12. Is a physical inspection made of U.S. Government-held quarters at least 10 days before an employee permanently departs Post? (725.8)	_____
13. 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? (717.3)	_____

14. 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? (717.2) _____
15. Are Trust Funds used to fund rent or other costs for buildings occupied only by USAID personnel? (717) _____
16. Are 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? (725.8) _____
17. Do telephone payments indicate that only official calls are being paid for by the Government? (717.6-2) _____
18. Does the Mission avoid paying taxes on U.S.-owned or -leased real property? (717.7) If not, has an attempt been made to obtain exemptions? (717.7-3) _____
19. Has the Post kept within advance lease payment authority? (732.6, 735.3) _____
20. Has any real property been acquired by gifts? If so, was it reported to M/OMS? (746.3-2) _____
21. Has U.S.-owned/leased real property been sub-leased or licensed to a non-government activity? (755.4) If so _____
- a. Was a local attorney consulted before entering into negotiations? _____
 - b. Were furnishings inventoried before leasing? _____
 - c. Was rent deposit obtained in escrow? _____
 - d. Were leases or licenses registered, if required by local law? _____
 - e. Upon lease termination was notification sent to parent agency? _____
22. Has a collocation waiver or exemption notification been obtained for office and functional space acquisition? (12 FAH-5) _____

A-2 Maintenance and Improvements

Yes/No/NA

1. Are reasonably priced Non-Personal Services Contractors available for maintenance and custodial services to replace any Personal Services Contractors or Direct-Hire Personnel employed by the Mission? _____
2. Does a review of maintenance records indicate that the U.S. Government is doing maintenance and repair on short-term leased property which should be the responsibility of the owner? (762.2-1) _____
3. Have improvements in long-term leased or U.S. Government-owned properties been made only after being approved by M/OMS? (763.1) _____
4. Is there evidence the occupant and not the Agency is paying for the care of residential lawns and gardens? (762.2-3) _____

- 5. a. Has the Mission issued uniform local rules detailing occupants' responsibilities for routine maintenance of U.S. Government-held residences? _____
- b. Does the Mission prepare a written statement of employee responsibilities to be signed upon occupancy? (762.2-2, 725.8) _____
- 6. Has the Mission established and implemented a comprehensive preventive, routine, and special maintenance program covering all facilities and major support systems? (762.1) _____
- 7. Does USAID periodically review utility cost to determine if usage and charges are reasonable? (717.9-2) _____
- 8. Has the Mission Director given prior written approval for work, other than routine maintenance and repair work, performed on his or her Official Residence? (M/OMS guidance) _____
- 9. Has the Mission considered using Trust Funds for payment of maintenance and repair costs? (717.1) _____

A-3 Leases

Yes/No/NA

- 1. Does the Mission have M/OMS approval for initial leases which exceed ten years? (736.2) _____
- 2. a. Have all leases with rentals in excess of \$25,000 per annum been approved by M/OMS prior to signing? (732.7) _____
- b. Have renewals of such leases been approved by M/OMS when the terms of the original lease have changed? _____
- 3. Has the Mission obtained approval from M/OMS before signing leases for functional space, regardless of rental cost? (732.2) _____
- 4. Do all leases include the following protective provisions, or was approval for the Mission received from M/OMS? (735.6) _____
 - a. The USG will not pay property insurance. (735.6(1)) _____
 - b. The USG will not be responsible for damage occasioned to or by visitors in common areas. (735.6(2)) _____
 - c. A lien will not be made on Government property. (735.6(3)) _____
 - d. A bonus payment will not be paid for procurement of quarters. (735.6(4)) _____
 - e. Disputes will not be submitted to a local panel or court. (735.6(5)) _____
 - f. The Lessee agrees to indemnify the Lessor from injury and damages which occur on the premises. (735.6(6)) _____
- 5. If local laws require lease registration, have Mission leases been registered? (737.6) _____

- 6. If rental agents are used, are fees paid only to licensed agents in accordance with local practice? (733.8) _____
- 7. If offshore payments are being made to landlords, has the Post obtained a waiver from M/OMS? (735.4) _____
- 8. For USG leases (737) _____
 - 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. Are facilities furnished by the landlord listed? _____
 - i. If furnishings are leased, is each item listed with condition described? _____
 - j. Is there approval for the USG to make alterations? _____
 - k. Does the USG have the right to waive restoration? _____
 - l. Is the USG exempt from damage beyond lessee's control? _____
 - m. Is rent stipulated in local currency? (735.4) (Unless permissible under local law) _____
 - n. Are advance payments within Agency limits? (735.3) _____
- 9. Do leases that contain a lease/purchase option indicate M/OMS approval and cite the approval cable? (735.8) _____
- 10. Are copies of leases properly distributed, including a copy to M/OMS (738) _____
- 11. If executed leases deviate from the established model, is reason for deviation documented? (737.1) _____
- 12. Are lease amendments, if any, made using the proper format? (737.2) _____
- 13. Do renegotiated leases include _____
 - a. New lease number? (737.3(a)) _____
 - b. Reference to old lease number? (737.3(b)) _____

14. 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/OMS approval to terminate Long-Term Lease and Short-Term Lease functional properties? (737.4) _____

III. B. Safety

Office and work-site safety inspections are required to be conducted at least twice each year. These inspections are the responsibility of the supervisors for areas under their purview. The questions below are based on fire protection and life safety code requirements currently in effect. Additional information is available from the Overseas Buildings Operations (OBO) Fire Protection Guide and the OBO Resources Directory. These questions are not all inclusive, and are intended only to serve as a useful guide to assist in identifying conditions that may constitute fire or life safety hazards. Each Mission should have a Mission Order on occupational safety and health which clarifies local procedures, practices, and policies regarding the protection of life and property. A sample generic Mission Order on safety and health is available upon request from the M/OMS safety and health team.

General Fire and Life Safety

B-1 Offices

Yes/No/NA

1. Housekeeping – Is everything in its place? Are waste baskets emptied daily? Is trash taken out of the building at night? _____

2. No Smoking - Is the “No Smoking” rule being enforced within the offices? _____

3. Electrical supply - Does electrical wiring show signs of cracks, wear, fraying, etc? Are any wall outlets overloaded? Is the use of extension cords limited to prevent overloading of wiring? Are extension cords kept out of walkways? _____

4. Walking surfaces - Are they kept clean and dry? Are there any torn or rumpled carpets? If so, are they being repaired or replaced? _____

5. Exit signs - Are exits clearly identified by international pictographic signs, and are lighted, ceiling-mounted exit signs visible from any point in the facility? _____

6. Exit floor plans - Are exit floor plans available for each floor showing emergency exit routes and exits? Are the floor plans mounted in corridors and near each exit? _____

7. Exit doors - Do all exit doors and egress doors leading to exits swing outward in the direction of egress? Are panic bars or standard door hardware mounted on all doors that lead outside? _____

8. Are exit doors, grills, and gates leading into or in stairways and exit ways kept unlocked during working hours? _____

9. Are stairwell landings clearly marked with the number of the respective floor? _____
10. Stairwell/corridor lighting - Are stairwells and corridors well-lit and equipped with battery backup lighting to facilitate egress in the event of power failures? _____
11. Fire alarm – Is there a fire alarm box? Do personnel know its location? Do employees know what number to call to report a fire or other emergency? _____
12. Fire suppression - Are standpipes or fire extinguishers available? Are the fire extinguishers at a minimum 10 lb. type ABC (4-A:40-B:C) dry chemical? Are they located every 75 feet, plus one at each exit? Are they operational and inspected quarterly? _____
13. Flammable liquids – If flammable liquids are used, are they handled and stored properly in a UL-approved container? Are all ignition sources checked, including static electricity? _____
14. Convenience appliances - Are coffee pots, transformers, and other electrically operated counter-top appliances placed on fire resistant ceramic or metal pads? _____
15. Paperwork, books, and files - Are papers, books, and files kept off the floors and in bookcases and filing cabinets to prevent tripping and fire hazards? _____
16. Training – Are personnel trained in the proper use of fire equipment? Are shortcuts or the over-riding of safety features prohibited? Are untrained personnel prohibited from using equipment which involves potential hazards? _____
17. Ladders – Are step stools or ladders readily available for retrieving items above shoulder height? _____
18. Lifting devices - Are carts or trolleys available to assist with the daily movement of equipment and supplies? _____
19. Stairwells – Is the nearest interior stairwell enclosed within one-hour fire-rated walls and doors? Are doors kept closed? _____
20. Directional arrows - Are arrows clearly marked on door thumb turn bolts and door knobs? _____
21. Material Safety Data Sheets (MSDS) - If hazardous or toxic chemicals or substances are being used in the work place, are MSDS posted to advise employees? Are employees trained in the use and handling of hazardous material? _____
22. Fire Drills - Are drills conducted at least twice each year? _____
23. Occupant Emergency Plan (OEP) - Is there an OEP in place (FPMR 101-20)? Are personnel, such as floor, stairwell, and disabled employee monitors, aware of their role? _____
24. Have separate rooms been designated as holding areas for disabled employees as required by the OEP? _____

- 25. First aid kits - Are first aid kits available and are personnel aware of the location of first aid kits? Is the kit displayed in an accessible place? _____
- 26. Is overhead lighting sufficient? _____
- 27. If elevators are available, are signs prominently displayed advising occupants to use the stairway, not the elevator, in case of fire? _____
- 28. Is an automatic fire detection and alarm system installed, if required by OBO? _____
- 29. Budget - Are necessary occupational safety and health items provided for in the office/Mission financial plan as required in 29 CFR 1960? _____

B-2 Residences

Yes/No/NA

- 1. Are all residential units equipped with battery operated smoke detectors in each sleeping area? _____
- 2. Are smoke detectors tested annually and worn batteries tested and replaced? _____
- 3. Is a 10 lb. type ABC dry chemical fire extinguisher available in the kitchen area? _____
- 4. Does the residential unit have two remote means of egress? _____
- 5. If backup generators are used, are fuel supplies kept a safe distance from the generator? _____
- 6. Is fuel stored in UL-approved fuel storage containers? _____
- 7. If LPG gas is used to power appliances, are the cylinders installed outside the building and at least 15 feet from any ignition source? _____
- 8. Are residents instructed to practice fire drills in their home at least twice a year? _____
- 9. Do residents know what phone numbers to call in the event of an emergency? _____

B-3 Warehouse

Yes/No/NA

- 1. Are supplies and equipment arranged in a neat and orderly manner? _____
- 2. Are aisle ways, clearance space, and exits kept clear of any obstructions? _____
- 3. Have warehouse personnel received training in safety? _____

4. Are enamels, lacquers, and other paint products stored in a well-ventilated, fire-resistant structure or UL-approved cabinet separated from other storage areas? _____
5. Are floor load-bearing capacities posted and observed? _____
6. Are materials stacked neatly and supports used where necessary to ensure stability? _____
7. Is a 1.5 ft clearance maintained between electric light fixtures and stacked materials? _____
8. Is a 2.5 ft clearance maintained between electrical circuit boxes and stored supplies? _____
9. Are bilingual "No Smoking" signs posted throughout the warehouse and outside near flammable storage points? Is this strictly enforced? _____
10. Are flammable liquids stored in a UL-approved safety container at an appropriate distance from other stored materials? Is only the minimum amount necessary kept on hand? _____
11. Is material stored so as not to interfere with sprinkler heads, fire line valves, fire hoses, fire extinguishes, fire exits, and doors? _____
12. Are large or heavy materials stored near doors to minimize handling and facilitate movement? _____
13. Are precautions taken to ensure that powered lift trucks are used properly in the area? Are they maintained properly? _____
14. Are precautions taken to ensure that gasoline-powered lift trucks are not refueled inside storage buildings or when the motor is running? _____
15. Are forklift operators trained in the safe operation of the equipment? _____
16. Are frequent checks made of storage areas containing hazardous — flammable, explosive, or corrosive — supplies to make sure they are in order with no evidence of leaks, corrosion, etc.? _____
17. Are EXIT signs posted and clearly visible from any point in the warehouse? _____
18. Are fire extinguishers mounted on the walls? Normal warehouse installations should have 20 lb ABC type (10-A:60-B:C) and 2.5 gallon water pressure type units mounted at the exits and at intervals of not more than 75 ft travel distance from any point in the building. Mounting height is 3 to 5 feet off the floor for visibility. _____
19. Do fire extinguishers have inspection tags and have the extinguishers been checked in the past year? _____
20. Are toxic chemicals or hazardous materials stored in the warehouse? If so, are Material Safety Data Sheets that provide hazard data and required precautions available? _____

- 21. Are less than 10 gallons of flammable liquids stored within the warehouse? Are they stored away from potential ignition sources? _____
- 22. Is a fire evacuation diagram displayed at key points along the wall? _____
- 23. Are warehouse personnel familiar with the location of fire fighting equipment and have they received training in its use? _____
- 24. Is the warehouse well-lit to minimize chances of accidents? _____
- 25. Are cylinders containing compressed gases properly labeled, stored outside, secured in an upright position, and sheltered from temperature and weather extremes? _____

B-4 Carpentry Shop Operations

Yes/No/NA

- 1. Are personnel in woodworking shops aware of hazards involved due to machine speed and sharp cutting edges? _____
- 2. Are personnel instructed that loose clothing, dangling ties, long hair, and jewelry may catch in moving machinery parts? Are such items prohibited while working? _____
- 3. Are machines shut down and tagged so they cannot be operated during maintenance or repair? _____
- 4. Are floors kept clean and free of sawdust, scrap, and other objects which might cause tripping or slipping? Is refuse taken out of the carpentry shop at night? _____
- 5. Are cutting tools kept sharp and in good repair? _____
- 6. Is appropriate personal protective equipment provided, and is its use required? _____
- 7. Are starting and stopping switches color-coded and within immediate reach of the operator? _____
- 8. Are machines in operation attended at all times? _____
- 9. Is adequate space provided around each machine to permit movement of the operator and handling of stock without danger? _____
- 10. Is stock piled in a separate storage location? _____
- 11. Are saws checked frequently for defects and cracks? _____
- 12. Are table saws stored beneath the table by guards or rigid exhaust hoods? _____
- 13. Are table saws guarded by a device which will rest on the table, completely covering the saw, and which will rise, by pressure or otherwise, to adjust itself to the thickness of the material being cut? _____

- 14. Are manual-feed saws provided with anti-kickback dogs or cams? _____
- 15. Are small pieces of stock fed through the saw with a push stick? _____
- 16. Fire Extinguishers – Each shop should have 20 lb type ABC (10-A: 60-B: C) extinguishers, and one 2.5 gallon pressurized water fire extinguisher mounted every 50 ft travel distance. _____

B-5 Machine Shop Operations

Yes/No/NA

- 1. Are machines shut down and tagged (lockout) so they will not operate during maintenance or repair? _____
- 2. Are all flammable liquids stored in their original containers or UL-approved containers? _____
- 3. Are oily rags, waste, and other grease-soaked materials disposed of in self-closing metal containers? Are these containers emptied daily? _____
- 4. Are personnel cautioned against wearing loose clothing, long hair, long sleeves, dangling necklaces or ties, gloves, and rings when working with moving machinery? _____
- 5. Is eye protection worn? _____
- 6. Are lathes allowed to come to a stop on their own accord? Is hand pressure prohibited from stopping a spinning chuck? _____
- 7. Is setting of tools prohibited while the lathe is in motion? _____
- 8. Are clamps and bolts checked to ensure that they are low enough to pass under the arbor and cutter of the milling machine? _____
- 9. Are grinding wheels thoroughly inspected for defects before use? _____
- 10. Are machines properly grounded? _____
- 11. Is scrap metal promptly cleaned up and disposed of? _____
- 12. Is shop illumination adequate? _____
- 13. Are machines located so as to provide operators with sufficient space to handle materials and perform job operations without conflict? _____
- 14. Are machine controls conspicuously identified by appropriate color coding and within easy reach of the operator? _____
- 15. Are compressed gas cylinders stored in an upright position, outside the facility, with caps on, and sheltered from temperature/weather extremes? _____
- 16. Are fire extinguishers mounted at strategic points within the facility? _____

B-6 Vehicle Maintenance Operations

Yes/No/NA

- 1. Are activities such as painting, welding, and battery work confined to separate parts of the garage or maintenance area and isolated from each other to avoid creation of hazardous work interference? _____

- 2. a. Are solvents used for cleaning? _____
b. If so, do they have low flash points (100 degrees F or lower) which can contribute to flammability? _____

- 3. If personnel handle solvents, are they provided with personal protective equipment such as gloves and respirators? _____

- 4. a. Is ventilation adequate to prevent accumulations of flammable or toxic vapors, gases, or fumes? _____
b. If vehicles must be run indoors, is there an effective exhaust system to prevent carbon monoxide buildup? _____

- 5. Are good housekeeping rules maintained in general? _____

- 6. Are floors kept clean and free of toxic or slippery substances? _____

- 7. Are drip pans used to catch oil and fluids from engines? _____

- 8. a. Do personnel wear proper personal protective equipment? _____
b. Are goggles worn whenever working around batteries? _____
c. Are shoes provided for protection of feet? _____

- 9. Are portable guardrails placed around any pit not in use? _____

- 10. Are pits cleaned regularly? _____

- 11. Are floor jacks inspected regularly for defects, safety locks, and hydraulic fluids? _____

- 12. Are jacks used together with wheel chocks to prevent movement of the vehicle? _____

- 13. Are vehicles supported securely on safety stands after being raised by jacks? _____

- 14. Are jacks labeled with their load limits? _____

- 15. Are makeshift work stands or scaffolding prohibited? _____

- 16. Are guard devices used during tire inflation to protect against explosion? _____

- 17. Are tool kits inspected periodically and defective tools and equipment replaced? _____

- 18. Are extension cords checked for deterioration from oil and grease? _____

- 19. Are gas tanks and other fuel containers removed from vehicles, drained, steamed, and filled with water before welding or other heat producing operations are performed on them? _____
- 20. Are maintenance personnel cautioned against wearing loose clothing and items of jewelry around equipment and machinery to prevent being caught in the machinery? _____
- 21. Are shop entrances and exits free of obstructions and easily identified? _____
- 22. Are signs warning of danger posted? _____
- 23. Is smoking prohibited and is this policy enforced in the shop area? _____
- 24. Are Material Safety Data Sheets readily available for use with hazardous solvents/chemicals being used? _____
- 25. Is eyewash available, especially near battery work area? _____
- 26. Is a first aid kit available in a conspicuous place? _____
- 27. Are 10 lb type ABC dry chemical fire extinguishers mounted on walls at strategic points? Are the extinguishers checked quarterly? _____

B-7 Vehicle Operations

Yes/No/NA

- 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, seat belts, 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. If fuel storage cans are used, are safety gas cans used, with a spring-loaded pressure relief cap and a flame arrestor? _____
- 8.
 - a. If the Mission has its own fuel dispensing pump, is a "No Smoking, Turn Off Engine" sign (bilingual) prominently displayed? _____
 - b. Are fuel-handlers trained in the use of fire extinguishers? _____
- 9. Fire extinguishers - Motor pools should have a 20 lb type ABC unit (10-A:60-B:C) mounted within 75 feet of the fuel dispensing point and additional 20 lb ABC units mounted to be available within 75 feet travel distance from all points of

the service area. An additional unit should be located at the guard Mission. _____

10. Is a sign prominently displayed indicating where the fuel pump shut-off valve is located? An emergency pump shutoff valve must be placed in an outside location within 75 ft of the dispensing island and labeled with a sign stating: "Emergency Pump Shutoff". Shutoff valves must not be closer than 15 ft to the dispensing device. _____

B-8 Food Service Operations **Yes/No/NA**

1. Are monthly inspections of kitchen equipment performed? _____

2. Are high sanitary standards maintained? _____

3. Are storage and work areas free from clutter, dirt and grease? _____

4. Is effective rodent and insect control established? _____

5. Do food handlers meet standards of personal cleanliness? _____

6. Do food handlers receive periodic medical examinations? _____

7. Is electrical equipment grounded? _____

8. Are liquid propane gas cylinders used and, if so, are they installed outside the facility and protected from temperature extremes? Are they at least 20 feet from an open flame source? _____

9. Are proper tools available to open boxes and crates? _____

10. Are stoves, hoods, vents, fans, and other parts of stoves and ranges cleaned to remove accumulation of grease? _____

11. Are floors clean and not slippery? _____

12. Are fire extinguishers (10 lb, type ABC, dry chemical) available and functional? _____

13. Are steam pipes insulated? _____

14. Are pads and potholders used when handling hot objects? _____

15. Do cutters and choppers have suitable guards? _____

16. Are operating instructions available for mechanical equipment? _____

17. Are safety and EXIT signs posted and clearly visible? _____

18. Is the kitchen separated from all other occupied areas by three-hour fire resistant wall construction? _____

19. Is there a clearly accessible fuel shutoff valve for all fuel-fired cooking equipment? _____

B-9 Pesticide Use

Yes/No/NA

Pesticides contain toxic chemicals that can be fatal to humans if the product is not applied or used properly. The Integrated Pest Management (IPM) program issued by the Department of State contains guidelines that must be strictly followed by overseas Missions before using pesticides to eliminate different types of pests. Due to the serious problem of illness and/or death that can result from the misapplication of pesticides, the Department has made the IPM program mandatory for all Missions by incorporating its provisions under 6 FAM 616.8. The checklist below is designed to serve as a reinforcement and reminder of the steps that must be followed before using pesticides.

1. Does the Mission have a copy of the IPM program on file, and have the GSO personnel been briefed/trained in its use? _____
2. Are copies of the IPM program available for distribution to employees? _____
3. Prior to using pesticides, does the Post employ Pest Reduction Measures? These are to be followed by or used concurrently with Self-Help Measures. Pesticide applications are permitted in homes or offices only as a last resort. _____
4. Pests seek habitats which provide basic needs, such as air, moisture, food, and shelter. You can minimize their presence through habitat modification, such as exclusion, repairs, and sanitation. Pages 3 through 5 of the IPM Plan contain specific steps to follow to deter and exclude pests from homes and offices. Have these steps been followed? _____
5. Have maintenance staff been trained to recognize the areas identified above and do they have the necessary materials to correct the situation? _____
6. Does the Operating Expense budget contain funds for necessary and ongoing deterrent supplies, e.g., screening, drain covers, caulking, traps, and trash cans with lids? _____
7. Are records maintained to indicate or justify the need for more aggressive measures to eradicate pests? _____
8. Are periodic notices issued to all employees mandating procedures to be followed to assist with pest deterrence? _____
9. Are the supplies listed in-stock at the warehouse or Commissary? _____
10. If not, has the Commissary manager been provided a list for ordering purposes? _____
11. a. If there is no commissary, are self-help products procured by the Mission and distributed to occupants of government-owned or leased properties? _____
b. Are employees encouraged to purchase these products from retail outlets in the U.S. before departure overseas? _____
12. Are employees made aware of their responsibility to use self-help measures as part of Mission compliance with the IPM program? _____
13. Based on the target pest to be eliminated, is an EPA-registered pesticide on order from the U.S. or currently in stock? _____

14. If a product is being considered for use that is not EPA-registered and purchased from GSA, has permission to use that product been obtained from A/OBO/OPS/SHEM (with a copy to M/OMS)? _____
15. Is a Material Safety Data Sheet (MSDS) available that describes the pesticide, handling precautions, hazard information, and protective measures? _____
16. Has the MSDS been made available to everyone that will be handling or exposed to the product? _____
17. a. Has the Embassy Health Unit been notified in advance that a pesticide will be used? _____
- b. Has the Unit been provided with a copy of the MSDS? _____
18. Does the Embassy have a qualified firm under contract to apply the pesticide? This may be preferable to hiring a contractor for USAID requirements only. _____
19. Have the personnel applying the pesticide been certified, licensed, or trained as proficient in the use of pesticides? _____
20. Is personal protective equipment (PPE) on hand and available to protect the persons applying the product? _____
21. a. Have the occupants of the office or residence been notified in advance of the application and advised on safeguards, handling of pets, and permissible re-entry times to the treated area? _____
- b. Has the MSDS been made available to these persons? _____

III. C. Security

Unless otherwise noted, all references in parenthesis refer to ADS 545-568 and 12 FAM.

C-1 General

Yes/No/NA

1. Has the Mission Director appointed a USAID Unit Security Officer (USO) in writing? (ADS 561.3.3c, 12 FAM 550) _____
2. Do all USPSCs hold a current security clearance? (ADS 568.3.1.7) _____
3. Is the storage, processing and reading of national Security Information conducted in a Control Access Area? _____
4. Are new personnel at Post given a security orientation? (12 FAM 500, 564.1 and ADS 568.3.1.7) _____
5. Is a security debriefing conducted for all personnel leaving USAID employment? (12 FAM 564.1 and ADS 568.3.1.7) _____
6. Do employees receive a briefing about sensitive but unclassified (SBU) information as part of their security orientation? (ADS 545.3.6.5) _____

- 7. Have employees received a copy of the Information System Security Rules of Behavior for All Computer Network (AIDNET) Users? _____
- 8. a. How many security violations occurred during the past six months? _____
- b. How many of those involved classified National Security Information? (12 FAM 557.1) _____
- 9. Is the Key Control Program administered by the Unit Security Officer? (ADS 562.3.10.a and 12 FAM 532) _____
- 10. Is the USO maintaining an inventory of security container combinations? (ADS 562.3.10.b and 12 FAM 532) _____
- 11. Are the security container combinations being changed when an employee leaves? (12 FAM 532) _____
- 12. When was the Emergency Action plan (EAP) last reviewed and updated? (Security Standards 12 FAH 5) _____
- 13. Does the Mission request security checks for all FSN and TCN USAID employees from the Embassy? (ADS 568.3.1.7 and AIDAR App J) _____
- 14. Are all new leases and construction of warehouses approved by M//OMS and SEC for security concerns? _____

C-2 Physical Security

Yes/No/NA

- 1. Are local security guards employed to guard public access controlled areas, warehouses, USG-leased residences, and other government housing areas? (12 FAM 320) _____
- 2. a. Are Security Procedure Guides (SPGs) present and accessible to guard personnel? _____
- b. Do local guards assist in the implementation of SPGs during normal and emergency situations? (12 FAM 321.1b) _____
- 3. a. Has a security survey been conducted by the RSO of the USAID facility? _____
- b. If so, give date of last survey. (12 FAH 5) _____
- 4. Has the Mission Director been designated in writing as a member of the Emergency Action Committee (EAC) at Post? (12 FAH 5) _____
- 5. Does the Mission facility meet the physical security standards? (ADS 562.3.2) _____
- 6. Are uncleared visitors escorted in the Mission where there is classified information? (ADS 562.3.4) _____

- 7. Are employees wearing and displaying building passes/ID cards? (ADS 562.3.4) _____
- 8. Are USDHs and USPSCs actively participating in the Emergency and Evacuation net and radio checks? _____
- 9. Does the USO ensure that security communication radio users know the proper use of the equipment? _____
- 10. Does the USO ensure that preventive maintenance is carried out on communications system equipment? _____
- 11. Is maintenance being performed on LAVs and FAVs in accordance with ADS 536.3.12.2 and ADS 536.3.12.3 respectively. _____

C-3 Information Security (See Section IX, Information Management, for Information and Computer Security.)

C-4 Personnel Security

Yes/No/NA

- 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 FSN employees? _____
- 4. Are FSN 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) _____

C-5 Security Training and Awareness

Yes/No/NA

- 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? (EO12958) _____
- 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 FSNs 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) _____

C-6 Security Incident Reporting

Yes/No/NA

- 1. Have any terrorist, mob or criminal incidents against USAID facilities or employees occurred within the last three years? (DS Composite Threat List) _____
- 2. If yes, have copies of the incident reports been forwarded to SEC? _____

III. D. Personal Property Management

Unless otherwise noted, all numbered references in parentheses pertain to 6 FAM 220, 6 FAM 770, and ADS 534.

D-1 General

Yes/No/NA

- 1. Are standard FFA&E items provided to employees in accordance with those listed in 6 FAM 772.3A, B, and the Post housing agreement? _____
- 2. Are hospitality kits issued in accordance with property loan policy? (222.4-2) _____
- 3. a. Are Accountable and Disposal Officers USDH employees appointed, in writing, by the Property Management Officer? (221.2-2). _____
- b. If the Accountable Property Officer is an FSN or U.S. citizen contractor, are they under the direct supervision of the Executive Officer? (221.2-2) _____
- 4. If the Property Disposal Officer is someone other than Accountable Officer, does the Property Management Officer assume the duties when there are no eligible designees available? (221.2-3) _____
- 5. a. Is separation of duties maintained for the functions of procurement, receiving, payment, property records maintenance, conduct of physical inventories, and disposal? _____
- b. In the absence of separation of these functions, are other internal controls used and documented? (221.2.c) _____

- 6. Is there a preventative maintenance program for major machines and appliances? (222-1(A)) _____
- 7. Does the Mission have a standardization plan for mechanical equipment? (534.3.2) _____
- 8. Where adequate local repair facilities are available, furniture should not be replaced unless the cost of repair exceeds 75% of the cost of the new item of the same type and class or unless such repairs would not extend the item's useful life for a period compatible with the cost of rehabilitation. Is this system of replacement in use? (222.3d) _____
- 9. Is Executive-type office furniture comparable to class "A" on GSA supply schedules used by officers FS-1 or above? (222.2-1) _____
- 10. Are repairs other than routine maintenance, performed on personal property, recorded in the property records? (222.4-1(B)) _____
- 11. Has the Mission established minimum replacement standards for major items of furniture and equipment? (222.3 a) _____
- 12. Does the Executive Officer ensure that issuance of furniture and appliances to other than USDH personnel is in strict compliance with contracts and interagency agreements? _____
- 13. Does the Accountable Property Officer conduct and document annual utilization surveys to ensure that property is correctly assigned and cared for, and to identify unneeded property for reassignment or return to stock? (221.2-2 b(8)) _____

D-2 Receiving

Yes/No/NA

- 1. Have a receiving clerk and an alternate receiving clerk been appointed in writing? (223.1) _____
- 2. Do the receiving clerk and alternate have written instructions concerning receiving property, marking it to show agency ownership, and preparing a complete receiving report? _____
- 3. Is a central receiving area designated and used for all reasonably transportable incoming items? (223.2) _____
- 4. Are receiving reports (form OF-127) prepared and distributed correctly? (223.3) _____
- 5. Are items checked against consignor's Bill of Lading, Purchase Order, and other documents to ensure all items ordered or listed were received and all items received were listed and ordered? _____
- 6. Are deviations from purchasing and shipping documents recorded? (223.6) _____
- 7. When special, technical equipment is received, does the receiving clerk have a technician inspect it for damage and full and proper identification? (223.3) _____

8. Is all received nonexpendable property properly marked to show Agency ownership? (224.2) _____
9. Is pre-loaded software entered on the inventory when priced separately from the equipment it resides on and when the price exceeds \$100? (224.1-4) _____
10. Are superseded versions of software packages and site licenses that have been upgraded deleted from inventory by abandonment? (224.1-4) _____

D-3 Recording

Yes/No/NA

1. Based on a sampling of 15-20 record cards of each type or an equal number of line items from computer records, are acquisitions and disposal posted correctly for the following:
- a. Expendable on stock control cards (OF-131) or equivalent from computer records (224.3)
- (1) Usage factors computed? _____
 - (2) Balance in stock adjusted after each acquisition or disposal? _____
 - (3) Is all other data on card complete
 - Stock number? _____
 - Description? _____
 - Unit of issue? _____
 - Unit of order? _____
 - Minimum and maximum levels? _____
 - (4) Does clerk prepare requisitions for procurement section when reorder level is reached? _____
 - (5) Are stock levels reasonable? _____
 - (6) Are quantities ordered reasonable? _____
- b. NXP from computer records (224.3)
- (1) Average unit cost adjusted after each acquisition? _____
 - (2) Inventory balance adjusted after each acquisition or disposal? _____
 - (3) Proper Stock number posted? _____
 - (4) USAID Barcode number posted? _____
 - (5) Item standard description complete and proper? _____
 - (6) Multiplication, addition, and subtraction correct? _____
 - (7) All other data entered? _____
 - (8) Are inventory adjustments posted and identified? _____

- c. Serialized items from computer records (224.3)
 - (1) Is barcode and standard description entered correctly? _____
 - (2) Model description correct? _____
 - (3) All other data posted
 - Serial number? _____
 - Make? _____
 - Acquisition document number? _____
 - Condition? _____
 - (4) Is repair data posted? _____
 - (5) Do repair records indicate that equipment is not being disposed of prematurely? _____
- 2. a. Are individual folders or other files maintained for each account? _____
- b. Is each residence, separate office, contract group, or other activity signing for property? (224.5) _____
- 3. Are proper procedures being followed to remove property from buildings? (224.6) _____
- 4. Are costs on property records shown in U.S. dollars? (225.1-1.a) _____
- 5. For non-capitalized accountable property, are costs on property records recorded for the purchase price excluding shipping, packing and handling charges? (225.1-1.b) _____
- 6. Is property acquired by donation posted at fair market value including, if appropriate, cost of transportation and other costs connected with placing the property in use? (225.1-2(B)) _____
- 7. When costs are unknown for newly acquired property, is value determined at the fair market value at time of acquisition? (225.1-1(C)) _____
- 8. Are separate inventory records maintained for USAID OE, project, RIG and Trust-Funded property? (224.1-2.c) _____
- 9. Is the annual reconciliation of property and fiscal accounting records being done for capitalized property? (ADS 629.3.2.5) _____
- 10. Are inventory losses being reported in accordance with 6 FAM 226.5? _____
- 11. Is property on loan to individuals or between agencies documented? (222.4-2) _____
- 12. Does the Accountable Property Officer ensure that backup records or monthly printouts are available in case of equipment failure for automated property record systems? _____

13. Have automated property record systems been assigned access codes to ensure that entry to procurement, receiving, payment, property records update, inventory, and disposal system components is limited? _____

14. Does the Accountable Property Officer make periodic checks to ensure accurate posting to property records? (221.2-2) _____

15. Does the Mission have "check-in" and "check-out" forms to be used by persons arriving at or leaving Post, to ensure that they are aware of their responsibility for property assigned to them and that property assigned to them is accounted for when they leave the Mission? (226.3) _____

D-4 Warehouse and Storage

Yes/No/NA

1. If warehouse staff is contracted-out as a non-personal services contract, is the contractor properly supervised? _____

2. Is the warehouse secure with _____

a. Strong walls with brick, corrugated metal, or other fire proof materials? _____

b. Windows barred, high off the ground, or otherwise made difficult for break in? _____

c. Doors well-built with locks that work? _____

d. Limited and controlled access to keys? _____

e. Guards or police in area? _____

f. Interior security lights? _____

g. Exterior security lights? _____

h. Leak-proof windows and walls? _____

3. Storage Areas - Are good storage practices generally followed? _____

a. Are storage areas organized and items stored by type? _____

b. Are racks, bins, or shelving installed to maximize space use and provide orderly organization? _____

c. Are racks, bins, or shelving built eight inches off the ground to provide clearance from damp floor as mildew protection and permit inspection under racks for evidence of presence of rodents and insects which might infest furniture? _____

d. Are stacks of boxes placed to keep them orderly, neat, and off the floor or on shelves? _____

- e. Are unboxed items stacked on one another? If so, are they stacked in a way to prevent damage? _____
 - (1) Are items stacked too high? _____
 - (2) Is padding of cloth or cardboard used between surfaces of stacked items? _____
 - (3) Are furniture legs or sharp edges resting on items below? _____
 - (4) Are items resting on pallets or shelves if floor dampness might damage them? _____
- f. Are upholstered furniture, mattresses, and box springs protected by dust sheets? _____
- g. Are box springs stored vertically to prevent compressing springs? _____
- h. Are used refrigerators and food freezers cleaned out with disinfectant before storage? _____
- i. Are used refrigerators and food freezers stored with doors open one inch to permit ventilation and reduce mildew and odors? _____
- j.
 - a. Are all unboxed appliances tagged to show if they are operable and ready for issue. _____
 - b. If not, what is wrong with them? _____
- k. In a joint warehouse operation, is the property of each agency stored so it will not be combined with like items from other agencies? _____
- l. Is there a secure, controlled area in the warehouse (usually a room with a dehumidifier if there is danger of dampness and air conditioner if there is danger of heat and dampness) for storing expensive equipment and supplies subject to theft and deterioration? (223.7) _____
- m. Are unboxed typewriters, calculators, and other equipment sensitive to damage by dust or grit covered with a dust cover? _____
- n. If bin cards are used, spot check quantities of ten line items. Are bin cards accurate? _____
- o. Is warehouse routinely (at least once per month) inspected for presence of harmful insects, rodents, or water damage to stored items? _____
- p. If harmful insects or animals are found, does the Mission take action to get rid of them? _____

- q. Are rugs stored flat or rolled on a pallet or in a rack and not left folded or laying on floor or earth? _____
- r. Are vehicle tires stored vertically on racks, out of sunlight, and with the flat square of the tire trend touching the rack? _____
- 4. Does the Mission have and use material handling equipment? _____
 - a. Is material handling equipment used properly and safely? _____
 - b. Are only trained and certified persons permitted to use fork lifts and other powered materials when handling equipment? _____
- 5. Are warehouse and other storage areas cleaned often enough to prevent accumulation of dirt and debris which could be a fire or health hazard or possibly cause damage to stored property? _____
- 6. If any landlord property is stored in the warehouse, is it
 - a. Clearly tagged to show origin and ownership and when taken? _____
 - b. Recorded with a copy of the record in the lease file? _____

D-5 Issuing

Yes/No/NA

- 1. Has the Accountable Property Officer established and enforced effective internal requisitioning and issuing procedures? (224.6) _____
- 2. Does the Post use issue forms which clearly identify what property is issued, when, and to whom? (224.6) _____
- 3. Do delivery crews carefully and safely move items? (Observe at least one delivery in action.)
 - a. Is furniture lifted, not dragged? _____
 - b. Do porters lift with knees, not back, to avoid strain? _____
 - c. Are furnishings safely moved up and down stairs or through doorways without damaging items moved or the buildings through which they are moved? _____
 - d. Are items moved carefully placed in the delivery truck? _____
 - e. Are items in the delivery truck padded, where appropriate, to prevent damage? _____
 - f. Are items in delivery truck covered against weather if trucks are not enclosed? _____
 - g. When moving upholstered furniture and other easily soiled items, do handlers have clean hands, wear clean gloves, cover items with plastic before moving, or touch only wooden or metal surfaces of item? _____
- 4. When nonexpendable property is picked up, is a receipt given which clearly identifies what property was picked up, when, and from whom? (224.6) _____
- 5. For spare parts issue: (224.6)
 - a. Are parts issued only against an approved requisition? _____
 - b. Are old parts returned in exchange for new ones? _____
 - c. Are salvageable used parts picked up on records? _____
 - d. Are bin cards kept? _____
 - e. If so, are bin cards accurate? _____

D-6 Inventory

Yes/No/NA

- 1. Is the inventory for each residence or office account adjusted after each issuance or withdrawal of property? (226.3) _____

2. Are the household furnishings and equipment assigned to the Mission Director's residence inventoried annually? (773.6-2) _____
3. Is the value of the Mission Director's residence inventory of nonexpendable property within the authorized limitation? (779.2-2) _____
4. Does the Mission Director sign the inventory completed on his residence prior to a copy being sent to M/OMS? (779.2-2) _____
5. Is physical inventory taken each year for all personal property other than residential furniture, furnishings, and equipment? (226.1) _____
6. Are separate inventories taken for each account (e.g., OE, trust fund, project, RIG, RHUDO, etc.)? _____
7. Are physical inventory and reconciliation files kept in the property office for the last three complete fiscal years? (226.2) _____
8. Does the individual responsible for property records maintenance participate in the physical inventory count? (226.2) _____
9. Are signed residential custodial files used to document inventory of occupied residences in lieu of new physical inventory? (226.1) _____
10. Is the inventory schedule announced well in advance to minimize disruptive influence in office routine? (226.2) _____
11. Does the Accountable Officer ensure that
 - a. Overages of items are logically explained in writing and recorded in property records? (226.4) _____
 - b. Efforts are made to locate missing NXP items only if the dollar value so warrants? (226.4) _____
12. When the final dollar value of physical inventory count of property is compared to the value in property records, what is the percentage of difference? (226.4) _____
13. When no more adjustments can logically be made for records, are receiving reports completed for all overages and disposal actions completed for all shortages? (226.4) _____
14. Has a Board of Survey been designated by the Mission Director? (226.5-2) _____
15. Are property record balances adjusted to show new total quantities and value? (226.4.e(3)) _____

16. Has the Post's inventory been
- a. Adjusted to show new balance? _____
 - b. Reconciled with Controllers records as required? _____
 - c. Sent to M/OMS as required? _____
17. If inventory discrepancies reveal expensive or sensitive equipment or large volumes of other property unexplainably missing, has the RIG been asked to investigate? _____

D-7 Disposal

Yes/No/NA

- 1. Is a permanent Property Survey Board used when appropriate or required? (226.5-2) _____
- 2. Before disposal of property, does the Accountable or Disposal Property Officer ensure that (221.2-3)
 - a. Equipment or furniture is the correct item to be disposed of? _____
 - b. Equipment tagged as "uneconomical to repair" is not operable or economically repairable? _____
 - c. If someone has been or is expected to be charged for damage to the property, the claim of damage has been settled? _____
- 3. Based on a sampling of at least ten disposal actions, is form AID 534-1, Personal Property Disposal Authorization, made out completely and correctly?
 - a. Are the item descriptions complete and proper? _____
 - b. Are barcode numbers listed beside the standard descriptions? _____
 - c. Do the names and signatures of survey board members appear on the Authorization when appropriate? _____
 - d. Is the Authorization signed by the Disposal, Accountable, and Property Management Officers? _____
- 4. Is disposal of USAID vehicles reported to USAID/W by turning in a copy of AID form 5-197, Motor Vehicle Report? (228.8) _____
- 5. 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? (227.3-3.j) _____
- 6. Is program-funded property being disposed in accordance with ADS 534.3.7.b? _____

7. Where disposal documentation lists property condition, are such conditions noted using the codes listed in the NXP Control Guide? _____

8. Are separate disposal reports made for expendable and nonexpendable property? _____

9. If applicable, which methods of disposal were used at this Post last year? (227.3) _____

Was the chosen method correct? _____

10. Are seals and insignias thoroughly mutilated before disposal and are flags disposed of by burning? (227.4) _____

11. Does the Mission obtain written approval from M/OMS prior to classifying USAID property as foreign excess? (227.1-3) _____

III. E. Acquisition

E-1 Simplified Acquisition

Yes/No/NA

1. Procurement Request – Suitable Requirement

a. Are the specifications appropriate? _____

b. Are the services non personal? _____

2. Competition and Publicizing

a. Was the purchase a Small Business Set-aside (US purchase only)? _____

b. Was a required supply source used? _____

c. Was a written solicitation prepared? _____

d. Was the solicitation posted in a public place (\$10,000 - \$25,000)? _____

e. Was competition obtained? _____

3. 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 knowledge _____?

b. Was a sole source justification provided? _____

c. Was an Abstract of Quotations included? _____

- d. Is the rationale for vendor selection documented? _____
- 4. 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 C.O. signed? _____
 - g. Does the P.O. contain all applicable current clauses?
 - From the FAR _____
 - From the AIDAR _____
- 5. Receiving report -
 - Were goods received or appropriate follow-up made? _____

E-2 USPSC

Yes/No/NA

- 1. Does the Contracting Officer have the appropriate warrant authority? _____
- 2. Has the contractor signed the contract? _____
- 3. Are funds available? _____
- 4. Does the Statement of Work establish an employer/employee relationship? _____
- 5. Does the Statement of Work require performance of functions reserved for Federal employees (exceptions must be approved by AA/M)? _____
- 6. Has the job been classified according to the GS scale based on a determination of the market value of the job (HR classification required if above GS-13 and over six months duration)? AND _____
- Is the salary set within the GS scale in accordance with Appendix D? _____
- OR
- Has the Mission Director or the AA approved an exception for negotiation based on current earnings? _____
- 7. Is the solicitation 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 SF-171 or OF-612 from the contractor? _____
10. For USPSCs recruited from within the cooperating country
- a. Is a copy of the signed class justification in the file (or has the CO prepared a justification)? _____
 - b. If a class justification is used, is there a certification from the CO that the contract was awarded pursuant to AIDAR 706.302-70(b)(1), that its conditions were met, and the cost is fair and reasonable (may be included in negotiation memo)? _____
 - c. Was the position publicized locally in accordance with Mission policy? Renewals or extensions for the same position do not need to be publicized. _____
11. Required thru 10/3/03 by CIB 00-08
- a. Does the file include documentation that the PSC Availability List was consulted? _____
 - b. If a person on the List was solicited and hired non competitively, is the class justification in the file (attachment 1 of CIB 00-08)? _____
 - c. If no one from the List was selected, does the neg memo state why no one on the List met Agency needs? _____
 - d. Did the CO notify in writing M/OP/P when someone from the List was hired? _____
12. Required by CIB 01-09 – If sole source or limited competition citing “HIV/AIDS and Infectious Disease Initiative” is used, does the file contain copies of:
- a. The required decision memorandum from the head of the operating unit (“organization that expends program funds”) determining that the Initiative applies _____
 - b. The required class justification (Attachment 1 of CIB 01-09) _____
 - c. The summary statement of the resulting award that was sent to the Agency Competition Advocate (CIB 01-04) _____
13. For USPSCs recruited form outside the cooperating country, is there evidence that the position was publicized on the Agency's Internet page (or has the CO prepared a justification)? Renewals and extensions, as well as new USPSCs under six months' duration, do not need to be publicized. _____
14. Is a determination of resident hire or international hire appropriate? (CIB 99-15) _____

15. As applicable, does the file contain
- a. Security clearance? _____
 - b. Medical clearances for overseas PSCs? Effective 3/31/01, M/MED medical clearance is required for offshore hires AND their dependents. Existing PSCs must obtain this within 3 years of award or before new contract award. BHR/OFDA PSCs are waived (CIB 01-10) _____
 - c. Names to be notified in an emergency? _____
 - d. Approved deviations, if any? _____
 - e. A record that Agency conflict of interest requirements have been requested (<GS-15 Procurement Officer SF 450)? _____
 - f. Completed W-4 Form? _____
 - g. M/OP Director approval of salary in excess of ES-6? _____
16. Negotiation memorandum – Does it discuss
- a. The number of applicants and how they were screened to the interview level. _____
 - b. How the contractor was selected. _____
 - c. How the salary level for the contractor was established. _____
 - d. Any other negotiated costs. _____
 - e. The determination that the cost is reasonable. _____
17. Does the file contain only one contract? _____
18. Does the contract cover only one position? _____
19. Is the Checklist for Personal Services Contracts in the file and is it checked accurately? _____
20. Is the Contract document complete and current including
- a. The Cover Page, 1420-36A, 11/96 version (11/93 was the previous version) with the ethics code at the top of the page appropriately marked? _____
 - b. The Schedule (including the Statement of Duties)? _____
 - c. The General Provisions (7/93 version of clause 2, 10, 13, 20, 23, 24, 25; 4/97 version of clauses 3, 5, 8, 9; 8/9 version of clause 11; 11/96 version of clause 26)? _____
 - d. FAR clauses? _____

- e. "Employee Review of the New Standards of Conduct" dated 10/30/92? _____
- f. For Resident Hires, with appropriate Standard Provisions deleted? _____
- 21. For incremental recurring cost funded contracts
 - a. Is the optional schedule, or similar language, used? _____
 - b. Has the contract been amended at least twice a year to update and reconcile obligations? _____
 - c. Has the CO signed the master funding documents? _____
- 22. Are there any unapproved/nonsense clauses included? _____
- 23. Are there any subcontracting provisions? _____
- 24. Is the individual's salary, with the 3% annual salary increase for satisfactory performance, within the position's market value? (CIB 98-16, effective date 6/22/98) _____
- 25. Is the individual's salary "capped," if salary is at maximum range? (CIB 98-16 effective date 6/22/98) _____

E-3 FSN/TCN PSC

Yes/No/NA

- 1. Does the Contracting Officer have the appropriate warrant authority? _____
- 2. Has the Contractor signed the contract? _____
- 3. Does the Statement of Work establish an employer/employee relationship? _____
- 4. Are funds available? _____
- 5. Has the job been classified under the LEPCH? _____

OR

- Has the Mission Director approved the exception? _____
- 6. Is the vacancy announcement in the file? Renewals for the same position, which may include a promotion, do not need to be publicized. _____
- 7. Is the selection memo with the results of the interviews, including names and rankings, included in the file? _____
- 8. Does the file contain a signed application from the Contractor? _____
- 9. Is there a copy of the class justification in the file, if used? _____

10. Is the CO's certification that the contract was awarded pursuant to 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)? _____
11. If limited competition was not used, does the file contain a Justification for Other than Full and Open Competition? _____
12. As applicable, does the file contain
- a. Security clearance? _____
 - b. Medical clearance? _____
 - c. Names to be notified in an emergency? _____
 - d. Approved deviations, if any? _____
 - e. A record that Agency conflict of interest requirements have been requested (SF 450)? _____
 - f. A record that Agency conflict of interest requirements have been met? _____
13. Is there in the file a negotiation memorandum discussing
- a. The number of applicants and how they were screened to the interview level? _____
 - b. How the Contractor was selected? _____
 - c. How the salary level for the Contractor was established? _____
 - d. Other negotiated costs? _____
 - e. The determination that the cost is reasonable? _____
14. Does the file contain only one contract? _____
15. Does the contract cover only one position (in-grade increases and career ladder promotions are OK)? _____
16. Is the Checklist for Personal Services Contracts in the file and checked accurately? _____
17. Is the Contract document complete and current including
- a. The Cover Page, 1420-36B 11/96 version (11/93 was the previous version), with the ethics code at the top of the page appropriately marked? _____
 - b. The Schedule (including the Statement of Duties)? _____
 - c. The General Provisions (7/93 version of clauses 1, 2, 3, 4, 8, 9, 20; 5/97 version of clause 10; 12/96 version of clause 19)? _____
 - d. The FAR clauses? _____

- e. The "Employee Review of the New Standards of Conduct"? _____
- 18. a. Is the optional schedule procedure used to fund the contract? _____
- b. Is the optional schedule language in the contract? _____
- c. Has the contract been amended at least twice a year to update and reconcile obligations? _____
- d. Has the CO signed the master funding documents? _____

OR

Is the contract incrementally or fully funded? _____

- 19. Are there any unapproved/nonsense clauses included? _____
- 20. Are there any subcontracting provisions? _____
- 21. Do TCNs get R&R? _____

TCNs under the LCP do not get R&R unless specified in the LCP and FSNs also get R&R. TCNs outside of the LCP get R&R as USPSCs and USDHs.

III. F. Motor Vehicle Management and Operations

Unless otherwise noted, all references in parenthesis refer to 6 FAM 228 and ADS Chapter 536.

F-1 General

Yes/No/NA

- 1. Is the Mission adhering to USAID policy that Mission vehicle fleets be limited to the number required for official purposes? (536.3.4) _____
- 2. With the exception of the Director's or USAID Representative's vehicle, are Mission vehicles pooled? (536.3.2) _____
- 3. Given the size, category, and age of present fleet, are current Mission requirements met or exceeded? _____
- 4. Has Mission planned for vehicle disposals and replacements when standards are met? (536.3.7 and 536.3.8) _____
- 5. Do disposal/procurement plans realistically reflect anticipated changes in overall Mission staffing? (Check Mission's OE Budget, Object Class 312, for budget to buy new vehicles at proper point in time, considering procurement lead-time, to match staff increases/decreases, etc.) _____
- 6. Does the Mission Director's vehicle conform to the applicable Standardization Plan? (536.3.5.2.a) _____

- 7. a. Are in-country transportation facilities available, such as taxi, bus, rail, and air? _____
- b. Considering safety, economy, security, and Mission administrative and program support requirements, are these facilities utilized to the maximum extent possible? (536.3.2) _____
- 8. a. Has a Mission Order on the use and control of vehicles been published? _____
- b. Is it compatible with USAID or other federal directives? _____
- 9. a. Does the Mission have a current and approved standardization plan? _____
- b. Are contractor vehicles on the same plan or has a written request for deviation been approved by the CO? (534.3.5.2) _____
- 10. Does the Mission have vehicle Liability Insurance? (536.3.9 and 6 FAM 228.4) _____
- 11. If the Mission uses U.S. government vehicles for transportation to and from work
 - a. Has this policy been authorized in writing by the Chief of Mission? _____
 - b. Are charges paid for this transportation? _____
 - c. Is the charge for home-to-work government transportation reviewed annually? _____
- 12. Are passengers billed for other authorized use, where appropriate? (6 FAM 228.2-3) _____

F-2 Recordkeeping and Reporting

Yes/No/NA

- 1. Are petroleum/oil/lubricants (POL) products controlled and accounted for on form AID 5-237? (536.3.14.1) _____
- 2. Are records kept for each Government vehicle including (536.3.14)
 - a. Repair work orders and maintenance records _____
 - b. Accident reports (forms SF-91/SF-94) _____
 - c. Motor Vehicle Record. Does Mission send yellow copy to M/OMS five days after vehicle is received (form AID 5-197) _____
 - d. Dispatch Analysis (form AID 540-3) _____
 - e. Purchase document _____
 - f. Registration _____
 - g. Importation documents _____
 - h. form AID 5-197 _____

F-3 Purchasing and Leasing

Yes/No/NA

- 1. Are vehicles replaced only after they meet replacement standards set by ADS 536.3.7? _____
- 2. Are vehicles that meet minimum replacement standards, but are still in excellent condition, retained? (536.3.7) _____
- 3. If foreign-made vehicles are purchased, does the Mission have source/origin waivers? (536.3.5.4) _____
- 4. If leased vehicles are used in lieu of Government-owned vehicles, does relative cost justify leasing? (536.3.5.1) _____
- 5. Are all sedans and station wagons in the Mission of Class III or below? (536.3.5.3a) _____

F-4 Disposal

Yes/No/NA

- 1. When replacement vehicles arrive at Post and are ready for use, are the vehicles they replace immediately taken out of service and disposed of within 60 days? (536.3.8 and 6 FAM 228.8-1) _____
- 2. Does the method of disposal used by the Mission conform to established Agency policy? (6 FAM 227.3 and 534.3.8) _____

F-5 Motor Pool

Yes/No/NA

- 1. Does each vehicle driver keep a daily use record (Trip Ticket) on Form OF-108 or its equivalent? (536.3.14.1.a.5(b)) _____

- 2. Does each gasoline-powered vehicle use unleaded gasoline and less than premium gasoline, unless it is justified in accordance with ADS 536.3.6? _____

- 3. Does each vehicle carry a blank Form SF-91, Operator's Report of Motor Vehicle Accident? (536.3.10) If so
 - a. Do drivers know how to fill out form? _____
 - b. Do drivers fill out form after an accident? _____

- 4. Does the Mission have control of fuel and oil usage through
 - a. Locks on fuel pumps? _____
 - b. Keeping gas coupons locked up and logging them out? _____
 - c. Requiring receipts for proof of cash purchases? _____
 - d. Other methods. (Explain) _____

- 5. If the Mission has its own fuel issue pump or station, are safety precautions followed, including
 - a. "No Smoking" signs (bilingual if appropriate) prominently displayed in the area? _____
 - b. Smoking prohibited within 15 feet of staging area? _____
 - c. At least three 10 lb dry powder fire extinguishers (more if area has more than two pumps or drums of fuel) in the area and easily visible? _____
 - d. Fuel handlers trained in the use of fire extinguishers? _____
 - e. Quickly removing or neutralizing spilled oil, grease, or other flammable substances in fuel dispensing area? _____

- 6. Does the Mission make an effort to ensure economy of use of vehicles?
(6 FAM 228.1) _____

 - a. Is a dispatch analysis used to show number of vehicles, ratio of passenger to non-passenger vehicles, number of drivers, and excessively long waiting time on dispatch? _____
 - b. Are vehicles of a type which offer the least expensive operating costs? _____
 - c. Are regular reviews of trip tickets carried out by a responsible Officer? _____

- 7. Do all drivers and supervisors have valid host government and/or USG driver's licenses? Do drivers receive periodic eye and medical examinations? _____
- 8. What is the ratio of drivers to number of vehicles? _____
- 9. Is a driving skills test given to drivers before they are hired? _____
- 10. Does the Mission have any training program to improve driving skills or general driving knowledge? _____
- 11. Does the Post have motorcycles or motor scooters in its fleet? (6 FAM 228.9-5) If so _____

 - a. Are drivers of these vehicles required to wear safety helmets? _____
 - b. Are vehicle records kept for these vehicles the same as for other vehicles? _____
 - c. Have there been any accidents at Post in which drivers or passengers on Mission motorcycles or motor scooters have been injured more than they would have been if they had been riding in a larger, closed vehicle? _____

- 12. Does the Mission have a Safe Driving Award Program? (536.3.13) _____
- 13. Are drivers capable of writing or reading English in order to complete trip tickets? _____

F-6 Vehicle Maintenance (General)

Yes/No/NA

- 1. Do drivers conduct daily inspections of the vehicles before using them? Do they follow the instructions of the check-off list on the reverse of Form OF 108 (Daily Vehicle Usage Reports)? _____
- 2. After spot-checking four or five vehicles just accepted by drivers for daily use, is there evidence that drivers are filling out vehicle inspection forms but not noticing or reporting missing equipment, insufficient oil or coolant, inoperable instruments, bad tires, or other vehicle faults? _____

3. Does the Mission have a scheduled preventive maintenance program for all U.S. Government-owned or leased motor vehicles? (536.3.12) Is schedule generally followed? _____
4. Are vehicle records periodically reviewed to identify
 - a. Average miles per gallon of fuel per vehicle? _____
 - b. Abnormal maintenance cost? _____
 - c. Whether time spent on specific jobs is unreasonably long, compared with a flat rate manual? _____
 - d. Maintenance labor hours and cost? _____
5. If not, how are vehicles maintained? _____
6. If fixed-fee contracts are in existence for vehicle maintenance, do records adequately reflect cost effectiveness or other advantages of selecting contractor? _____
7. How are vehicles maintained in the field? _____
8.
 - a. Are any project-funded, host government-titled, vehicles maintained under OE? _____
 - b. Why, and under what arrangement? _____
9.
 - a. Are maintenance services provided to any other USG Agency? _____
 - b. If so, how is reimbursement made? _____
10.
 - a. Is responsible supervisor's approval required on work orders? _____
 - b. Is spot check made to confirm validity of requirement? _____
11.
 - a. Does the Mission have a preventative maintenance service schedule for each vehicle? _____
 - b. Who ensures the schedule is properly followed? _____
12. Does the Mission use chemical additives to radiators to prevent freeze-up or overheating? _____

F-7 Vehicle Maintenance (Spare Parts)

Yes/No/NA

- 1. Are spare parts room maintained? If so _____
 - a. Is security adequate? _____
 - b. Is there an inventory control? _____
 - c. Are old parts exchanged for new parts? _____
 - d. Are old parts checked for usability? _____
 - e. Are unserviceable parts sold for scrap? _____
 - f. Are obsolete parts culled out of stock and disposed of? _____
 - g. Are good parts – but parts not suitable for vehicles in the Mission fleet – culled out and sold or transferred to another Mission? _____
 - h. Are parts issued only against a valid, signed work order? _____
- 2. Are vehicle parts that are frequently required to maintain the Mission's vehicles available on the local market? If so _____
 - a. Are prices reasonable? _____
 - b. If prices are reasonable, does the Mission use them? _____
 - c. What is the annual cost if they are used? _____
- 3. Are there any parts on hand for vehicles no longer in the fleet? _____

F-8 Vehicle Maintenance Facility

Yes/No/NA

- 1. Are the fire and safety standards outlined in the OBO Pamphlets, "Fire Protection Design Criteria" and "Interim Standards for Fire and Life Safety," being enforced in the vehicle maintenance shop area. (6 FAM 228.12) Also _____
 - a. Are there at least three serviceable 10 lb, dry chemical fire extinguishers conspicuously mounted and easily accessible in the shop area? _____
 - b. Are "No Smoking" signs, bilingual if appropriate, easily visible anywhere in the shop area? _____
 - c. Is the "No Smoking" rule enforced? _____
 - d. Is spilled oil or gasoline cleaned up promptly? _____
 - e. Is a First Aid kit available near the work area? _____

- f. Are eyewash and sanitary cups available, especially near the battery work area? _____
 - g. Does the Mission avoid using gasoline as a solvent? _____
 - h. Do mechanics use safety glasses when working with acid or power tools? _____
 - i. Do mechanics secure vehicles raised on jacks, lifts, or props to avoid the chance of the vehicle falling? _____
 - j. Do mechanics avoid running vehicle engines in closed spaces while testing them? _____
 - k. Are containers of highly flammable liquids (gasoline, oil, etc.) always covered except when in use? _____
2. Is a First Aid kit, including eyewash, available near maintenance workers? _____
 3. Does the vehicle maintenance shop have manufacturer's repair manuals and parts lists for all makes and types of vehicles in the Mission fleet? _____
 4. Do shop personnel have ability to read and follow instructions in manufacturer's manuals? _____
 5. Does the shop have adequate tools and equipment to do repairs? _____

III. G. Environment

Yes/No/NA

1. Has the Mission instituted a Water Conservation Program? _____
2. Has the Mission instituted an Electricity Conservation Program? _____
3. Has the Mission instituted a Fuel Efficiency Outreach Program to reduce greenhouse gas emissions? _____
4. Have all new construction projects, or major renovation work, at the Mission been designed with strict cost effective criteria with specific energy efficient targets? _____
5. Does the Mission have a policy of purchasing products which are
 - a. In the upper 25th percentile for energy and water efficiency, as rated by the Mission against local competition? _____
 - b. At least 10 percent more energy and water efficient than the minimum levels set by Federal standards? _____
6. Does the Mission purchase advanced technologies and products that offer even greater energy-efficiency, water savings, or use of renewables to encourage greater commercial use? _____

7. Does the Mission share its energy efficiency and resource conservation experiences with other USG Agencies? _____

IV. TRAVEL AND TRANSPORTATION

All references in parenthesis refer to the Uniform State/USAID/USIA Foreign Service Travel Regulations as found in ADS 522-524 and 6 FAM 120. Innumerable questions could be asked concerning travel regulations and practices. The questions listed below concern common errors or abuses of regulations which are more likely to be found.

A. General Yes/No/NA

1. Does the Mission maintain complete and up-to-date copies of the following publications that establish Agency policies, procedures, and statutory authorities with regard to 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 524, Entitlement for Domestic Relocation _____
 - d. Standardized Regulations _____
 - e. Foreign Affairs Manual - Volume 3 _____
 - f. Foreign Affairs Manual - Volume 6 _____
 - g. GSA Pamphlet "How to Prepare and Process U.S. Government Transportation Requests" _____
 - h. GSA Pamphlet "How to Prepare and Process a U.S. Government Bill of Lading" _____
2. 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 Yes/No/NA

1. Do employees submit vouchers for reimbursement of travel expenses within five days after completing travel? (ADS 522) _____
2. Do travelers turn in unused tickets immediately upon arrival at Post? (6 FAM 117.2) _____
3. Do travelers give receipts, or written explanation for lack of receipts, for taxi fares over \$75 and other expenses over \$75? (6 FAM 142.b) _____

4. Has the Government paid for travel of any employees' relatives other than authorized family? _____
5. Have agency heads at Post, or persons they delegate in writing, signed all travel documents prepared at Post? (6 FAM 121.2-2c) _____
6. Has the Authorizing Officer documented the reason for any exceptions to the travel regulations? (ADS 522, 6 FAM 114) _____
7. 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? _____
8. If representational travel is taken within country of assignment and family members accompany, has criteria justifying the travel been met (6 FAM 127.2-1) and has justification been documented? (6 FAM 127.1) _____
9. If representational travel is taken outside country of assignment and family members accompany, has criteria justifying the travel been met (6 FAM 127.2-2) and is the justification documented? (6 FAM 127.1-2) _____
10. If the Post is in an excess or near an excess currency country, does the Post make use of these currencies? (6 FAM 128.1) _____
11. If an employee or dependents use a mode of travel other than the usually traveled route, is the employee charged annual leave for any excess travel time? (6 FAM 132.2-2) _____
12. If an employee or dependents deviate 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? (6 FAM 132.2-2) _____
13. 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? (6 FAM 152) _____
14. Is the Mission Travel Staff fully cognizant of and conversant with the provisions of the Fly America Act, as related to official travel of Mission personnel? _____
15. Does the Mission properly utilize and control Government Transportation Requests (GTR) forms SF-1169? (6 FAM 117.4c) _____
16. Are staff members who are responsible for travel arrangements familiar with the types of official travel, uses, and special provisions? (6 FAM 131) _____
17. Are travel agents used to procure travel services? (6 FAM 128.2) _____

C. Transportation

Yes/No/NA

- 1. If the Post uses any Through Bill of Lading Services, does the file contain a memo comparing the cost of this service relative to using the pack-and-crate method? (6 FAM 164.3-5) _____
- 2. Does the Post ever arrange to re-weigh incoming household shipments? If so, how often? _____
- 3. Does the Post send a copy of personal effects shipment information to the Despatch Agent, except for Through Bill of Lading Service or residence to residence shipments? _____
- 4. When the Post arranges shipments of household effects, are vans constructed within preferred shipping limits of width 6 ft x height 6 ft 10 inches x length 8 ft? (6 FAM 164.8) _____
- 5. Is a Notice of Shipment of Effects sent to consignee when an employee's personal effects are consigned to a Despatch Agent or another Post? _____
- 6. Do persons responsible for shipping and packing know that alcoholic beverages may not be packed with household effects or unaccompanied baggage for shipments going to the U.S.? _____
- 7. Are payments made to ocean carriers within specified time limits? _____
- 8. Has Post developed a reasonable numbering system for payment and control of commercial bills of lading? _____
- 9. Has Post retained packing crates from incoming pack and crate shipments? _____
- 10. Are Government-paid replacement Privately Owned Vehicle (POV) shipments made only four years after the vehicles entered the country? _____
- 11. Does the Mission use and properly control Government Bills of Lading? (GSA Pamphlet "How to Pre-prepare and Process a U.S. Government Bill of Lading?" NSN-7610-00-682-6470) _____

V. COMMUNICATIONS AND RECORDS

A. General

Yes/No/NA

- 1. Does the USAID Mission have an in-house Communications and Records (C&R) section? If not, under what arrangements are the services being provided? _____
 - a. Is the service satisfactory? _____
 - b. Has a Mission Order been published implementing Agency C&R policies? _____

2. If the C&R section functions without a U.S. C&R Officer, who provides supervision; develops procedures; handles records disposition; handles destruction of files; provides training to secretaries and/or other file custodians; provides assistance to Mission offices? _____

3. Does the Mission have an active communications training program for secretaries and/or other file custodians? _____

4. Does FSN staff handle unclassified mail, files, and related operations? _____

5. Are files current, accurate, and arranged in a systematic manner, i.e., alphabetical, numerical, and chronological? (ADS 502.5.2d, Appendix 4A) _____

6. Are file cabinets used for non-record material? _____

7. Does the Mission make maximum use of five-drawer file cabinets? (ADS 502.5.2f) _____

 Has the Mission established proper maintenance and control over its designated filing stations? (ADS 502.5.2) _____

8. Does the Mission have a current file plan? (ADS 502.5.7) _____

9. Are record storage and shipping boxes packed in accordance with ADS 502.5.7g? _____

10. a. Is the space used for storage of inactive files adequate clean, dry and safe? (ADS 502.5.2f) _____
 b. Has the Security Officer inspected and approved the records storage space? _____

11. a. Does the C&R supervisor make annual review of records in the offices and in local storage? (ADS 502.5.7h) _____
 b. Have records authorized for destruction in accordance with the Disposition Schedule been destroyed? (ADS 502.5.7h) _____

12. Does the Mission have a plan and facilities (incinerators, trunks, etc.) for emergency and evacuation or destruction of records? (ADS 502.5-7f) _____

13. Does the Mission keep classified files separate from unclassified in a safe during the day and return them to the Embassy for overnight storage? (ADS 502.5.2e) _____

14. Has the Mission established a proper disposition schedule for its electronic records? (ADS 502.5.6g) _____

15. Is a periodic review made of long distance calls controls and procedures? (ADS 549.5.3) _____

- 16. Are personal calls controlled? (ADS 549.5-3) _____
- 17. Has the Mission established procedures to ensure proper handling and accurate delivery of official mail? (ADS 513.2) _____
- 18. Has the Mission established procedures to control the postage and fees of official mail? (ADS 508.2) _____

B. Telegrams

Yes/No/NA

- 1. Does the Mission use appropriate controls and measures for transmitting classified information? (ADS 549.5.2) _____
- 2. Do all Mission telegrams conform to Department of State international communication standards for transmission? (ADS 549.4.2a) _____
- 3. Has the Mission established procedures to ensure coordination and clearance of telegrams transmitted from the Mission? (ADS 549.5.2c) _____
- 4. Does the Mission use appropriate controls for declassifying and downgrading classified telegrams? (ADS 549.5.2d) _____
- 5. Does the Mission use the M/IRM-developed and -distributed cable macro for the preparation of a telegram? (ADS 549.5.2b) _____
- 6. Do all drafters and recipients of telegrams at the Mission retain final copies with approvals in official office or project/strategic objective files? (ADS 549.5.2i) _____

VI. 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 management controllable. They must be a major concern at every level of management. USAID's effectiveness depends increasingly on improving the management of its human resources. Evaluation is an essential element in the assessment of results achieved against objectives set. To fulfill their personnel management responsibilities, USAID managers and supervisors must know how their personnel management activities are contributing to employee productivity and organizational effectiveness within the framework of applicable laws, regulations, and public policies.

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

Yes/No/NA

- 1. Are performance plans, including work objectives, established according to Agency guidelines for all USDH employees within Agency-established timeframes? (462.3.2) _____
- 2. Are employees' work objectives congruent with the Mission's R4? (ADS 462) _____
- 3. Is an Appraisal Committee, in the Mission or in USAID/W, established and functioning for each employee according to current Agency policy? (ADS 462) _____

4. Is at least one progress review being conducted (usually mid-cycle) for each employee during a rating cycle? (ADS 462.3.4) _____
5. Are 10 working days allowed between the time employees receive their completed evaluations (after their Appraisal Committee review) and the deadline for receipt in HR/USAID/W? (ADS 462.3.9) _____
6. Are the evaluations passed from the appraisal committee to USAID/W by the Agency-established due date? (ADS 462) _____
7. Are Appraisal Input Forms (AIFs) completed for all employees supervised for periods of 30 days or more? _____
8. Have all departing raters (supervisors) completed at least a 360-degree paper review of employees supervised or an AIF if supervised at least 30 days? _____
9. Do employees provide raters with list for 360-degree contacts by mid-cycle? (ADS 462.3.5.2) _____
10. Do all employees submit their SF-278 Public Financial Disclosure Report or OGE-450 Confidential Financial Disclosure Reports as appropriate? (5 USC Sec. 101, 5 CFR part 2634) _____
11. 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? _____
12. 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? _____
13. Are employees advised in writing by mid-cycle of unacceptable progress toward work objectives? (ADS 462.3.3) _____

B. Personnel Management Aspects of USPSC Management Yes/No/NA

1. Is the use of compensatory time strictly controlled according to the policy set forth in CIB-98-24? _____
2. Are annual leave and other leave balances periodically reviewed, with no accumulation beyond leave earned in one year allowed, and are any excessive balances scheduled to be used before the end of the contract? (AIDAR Appendix D, General Provision #5) _____

C. Foreign Service National (FSN) Employees Yes/No/NA

(The following applies to PSC and DHFSN, if any, employees. Also, locally recruited TCN employees are considered FSN for contractual purposes. (AIDAR Appendix J.1(8)(ii))

1. Are work objectives of local employees established in writing and fit within established SOs of the Mission as appropriate for their position? _____

2.
 - a. Do position descriptions accurately reflect actual duties and follow procedures shown in the Interagency Local Employees Position Classification Handbook? (3FAH-2/LEPCH, ADS 495) _____
 - b. Is there an A&E for each position? _____
 - c. Is each position re-certified 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 FSN employees for cause or for not meeting minimum standards? (3 FAM 7710) _____

5. Is an orientation system in place so newly hired FSN 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 FSN employees who travel to the U.S. on official business undergone medical examinations, obtained clearances to travel, and enrolled in a FSN Emergency Accident and Health Plan? (ADS 496) _____

7. Have all traveling FSN employees been instructed about regulations and procedures of official travel and insurance requirements before commencing travel? (ADS 496) _____

8. Does the Mission have an 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? (AIDAR appendix J) _____

12. Do all FSN employees complete pre-employment medical exams before being contracted? (AIDAR appendix J) _____

13. Are all locally recruited TCN employees considered FSNs and compensated (salary and benefits) according to the local compensation plan? (AIDAR appendix J)

D. Personnel Management (General)

Yes/No/NA

1. Does the Mission input accurate staffing data in eWorld no later than the last workday of each quarterly month?

2. Does the Mission have a budget and training plan/Mission Order for staff training, in appropriate skill areas, for all categories of long-term USDH and FSN/TCN staff?

3. Do all Mission personnel receive annual ethics training, as appropriate for their position? (5 CFR Part 2635; EO12674, Part 1)

4. Do supervisors of all categories of personnel perform timely, annual evaluations of employees in accordance with Mission procedures, or other guidance as appropriate for each category of employee? (ADS 495.5.9)

5. a. Do all newly arrived employees receive an orientation to Post operations, country conditions etc.?

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

6. Are all personnel/personal service contract records for all categories of personnel set-up, maintained and disposed of according to regulations? (ADS 502; ADS 513.3 (7); 3 FAM 2350; FSNPAH sec.14.5a.) 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 new standards of conduct?

d. Emergency locator info?

e. Completed check-in forms?

f. Completed check-out forms?

7. If separate files are kept for PSC contracts and personnel matters, are important documents (e.g., emergency locator cards) cross-referenced for emergency access?

8. Does the Mission review and follow current Agency guidance when adding positions in any category? (General Notices: Workforce Ceiling Management)

9. Do all PSC personnel annually receive and submit an SF-278 Public

Financial Disclosure Report or OGE-450 Confidential Financial Disclosure Reports, if appropriate, for their position? (5 USC Sec. 101, 5 CFR part 2634, Ethics in Government Act 1978 as amended, CIB 93-17) _____

VII. INTERNATIONAL COOPERATIVE ADMINISTRATIVE SUPPORT SERVICES (ICASS)

To be answered only if the Post is an ICASS provider or recipient of ICASS services.

A. General	Yes/No/NA
1. Are the ICASS services the Mission receives perceived as better or worse than the prior year?	_____
2. Does the Mission maintain a list of who within the Mission is an authorized user of ICASS services?	_____
3. Are the Mission workload counts reviewed on a regular basis?	_____
4. Does the ICASS Council at Post review the percentage of time the Embassy administrative section charges to each ICASS cost center?	_____
5. Is the Post's ICASS budget available for review by the working group on a regular basis?	_____
6. Does the Post working group meet regularly to discuss ICASS issues? Does the Post have a working group?	_____
7. Has the efficiency, economy, and effectiveness of Government operations improved at Post as a result of ICASS?	_____
8. Have any ICASS functions, previously handled by USG employees or PSC employees, been contracted out?	_____
9. Have any USAID positions been reduced as a result of buying ICASS services?	_____
10. Have there been other savings such as bulk discounts or consolidations of purchases using ICASS procurement services?	_____
11. Have realistic ICASS targets been set by the regional Bureaus? Are targets explained to the ICASS working group?	_____
12. Has the Post identified a means to fund equipment replacement of ICASS assets?	_____
13. Is the Post now adding amounts in its ICASS budgets for equipment replacements?	_____
14. Has there been a consolidation of service providers at the Mission as a result of ICASS?	_____
15. Are Mission councils evaluating proposals from outside contractors and other agencies to perform selected services?	_____

- 16. Are all overhead and indirect costs considered in these proposals? _____
- 17. Are other agencies helping to explore cost-saving options? _____
- 18. Do other agencies show commitment to trying to make ICASS work for all? _____
- 19. Have any problems, such as accounting or software, been encountered in ICASS operations at Post? _____
- 20. Is DOS Washington (ICASS Service Center) or M/OMS providing answers or feedback to issues at Post? _____
- 21. Is an annual assessment of the ICASS service provider being done at Post by the ICASS Council? _____
- 22. Is the Mission provided copies of ICASS reports of the current ICASS budget in a timely manner? _____
- 23. In the Mission's opinion, is ICASS training needed at Post for ICASS Council members, service providers, and/or customers? _____

VIII. DISASTER RELIEF

Unless otherwise noted, all references refer to Interim Update #6, 99 STATE 067735, ADS 251, and OFDA Field Operations Guide.

- | | Yes/No/NA |
|--|------------------|
| 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 Foreign Disaster Assistance (OFDA) in USAID/W and the regional OFDA representative? | _____ |
| 2. Does the MDRO know the appropriate regional OFDA office and other relief resources for the Post? | _____ |
| 3. Has a recent assessment been made of the Post's vulnerability to natural and man-made disasters and the information and logistical resources available to the Post in the event of a disaster? (Regional OFDA offices should assist in development and review of assessments to ensure uniformity and comprehensiveness.) | _____ |
| 4. 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.) | _____ |

5. 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? _____

IX. INFORMATION MANAGEMENT

A. General

Yes/No/NA

1. Is the Mission using USAID standard software applications? _____
2. Is the Mission using USAID standard log-in procedure? _____
3. Are there adequate protections/procedures against computer viruses? _____
4. Is a backup procedure in place? _____
5. Is there off-site storage of backup media? _____
6. Is the network operating up-to-date software? _____
7. Are any games on the system? _____
8. Have non-authorized/unofficial copies of software been installed? _____
9. Is there an adequate inventory of computer equipment? _____
10. Is the security of the core computer equipment (i.e., servers) protected? _____
11. Are user passwords changed regularly? _____
12. 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? _____
13. Does the Mission have an inventory of systems software as well as systems hardware, components, and peripheral devices by location? _____
14. Has the Mission established a Technical Advisory Committee comprised of individuals responsible for each of the various offices? The purpose of this committee is to discuss and guide the future direction of the Mission's IT procurements based on automation requirements and IRM recommendations. As a result of this, has the Mission established an IT Procurement Plan? _____

- 15. Is the network installed in accordance with published IRM/TCO Standard Network Operations Guidelines? (This document can be found on the IRM web site, or can be requested from IRM/TCO.) _____
- 16. 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 made on the IT plan? _____
- 17. Does the Mission maintain a spare parts inventory? _____
- 18. Does the Mission have maintenance contract for hardware/software support not provided by M/IRM? _____

B. Information Security

The following questions track with form AID 545-3, Unclassified Information System Compliance Review. They can be used in assessing compliance with Federal and USAID information systems security policies, procedures, and regulations governing electronic data processing and storage. Proper handling of sensitive but unclassified (SBU) data is especially important. Forms cited below are currently available from Forms page at <http://tcoweb.usaid.gov/forms/default.htm>

B. (1) IT Personnel Security Requirements

Yes/No/NA

- 1. Do all members of the system staff and users with special access privileges meet the requirements for sensitive positions outlined in ADS 561-568, security chapters? _____
- 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? _____

B. (2) IT Technical Security

Yes/No/NA

- 1. 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) _____
- 2. Is all software operating on the system either approved by M/IRM/SDM for operation on the system or appropriately licensed to USAID for operation on USAID systems? _____

- 3. Have operating system software and application software security controls been appropriately implemented? _____
- 4. Is the system audit trail operating? _____
- 5. Has the system audit trail been reviewed for anomalies and access violations on a regular basis? _____
- 6. Are users restricted to specific workstations and printers on an individual basis? _____
- 7. Are unsuccessful log-on attempts restricted to three, and do keyboards lock out the user after three unsuccessful attempts? _____
- 8. Are all users required to enter a unique user-ID to gain access to the system? _____
- 9. Are passwords randomly selected and do they consist of at least seven (eight or more is preferable) alphanumeric characters? _____
- 10. Have passwords been changed within the last 90 days? _____
- 11. Has the audit trail been archived and retained for at least 30 days? _____

B. (3) IT Administrative Security

Yes/No/NA

- 1. Have U.S. citizens with SECRET security clearances been formally appointed ISSO and alternate ISSO? _____
- 2.
 - a. Have all personnel accessing the system been formally granted system access privileges via the form AID 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 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? _____
- 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. Are all dial-in and network connections authorized and accounted for? _____

- 9. Have system equipment and media used to process and store SBU information been appropriately labeled? _____
- 10. Are SBU media appropriately stored? _____
- 11. Have procedures for transporting system equipment and media been developed by the site ISSO and system manager/administrator? _____
- 12. Are logs kept of all requested/performed maintenance service? _____
- 13. Is there confirmation that no classified national security information has been processed, printed, or stored on the system? _____
- 14. Is a central file maintained and up-to-date? _____
- 15. Are system data, file, and record backup procedures regularly implemented? _____
- 16. Are up-to-date contingency operation plans in place? _____
- 17. Have the contingency operation plans been successfully practiced within the past year? _____
- 18. Have up-to-date disaster recovery and emergency action plans been developed? _____
- 19. Have the disaster recovery and emergency action plans been successfully practiced within the last year? _____
- 20. Have all systems users received information systems security awareness training within the last year? _____
- 21. Is a systems operation log maintained? _____
- 22. Have appropriate systems been approved to process SBU data? _____

B. (4) IT Physical Security

- 1. Is there a complete and up-to-date inventory of all system components and peripheral devices by location? _____

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