

# **12 FAH-3 H-120 PERSONNEL POLICIES**

*(TL:FOMH-2; 11-19-2002)*

## **12 FAH-3 H-121 LEAVE REQUESTS**

*(TL:FOMH-2; 11-19-2002)*

The SAC expects all employees to use leave according to legal requirements and without abusing leave privileges (see subchapters 3 FAM 3410 and 3 FAM 3420 ). Federal regulations governing leave are not designed to permit leave without sufficient justification. Employees must make requests for leave on Form *OPM-71* and as far in advance as possible.

### **12 FAH-3 H-121.1 Annual Leave**

*(TL:FOMH-1; 12-4-95)*

a. An employee may use annual leave for an annual vacation period for rest and recuperation as well as for personal and emergency purposes. An employee must schedule annual leave in advance (except for emergencies) and must have supervisory approval. The supervisor decides approval in light of the needs of the service and the number of staff for whom the supervisor has already approved leave. The supervisor does not grant approval simply because of the desires of employees. When calling in for emergency leave, the applicant must speak to a supervisor; co-workers are not authorized to approve leave. The supervisor may place the employee who fails to follow this procedure in an AWOL (absent without approved leave) status.

b. Special agents should be aware that the unit supervisor's first priority is to ensure that there are sufficient people available to handle all urgent requirements. Based on the foregoing and the uniqueness of the special agents' job, the supervisor may have to cancel annual leave at any time, based on the needs of the Department.

### **12 FAH-3 H-121.2 Sick Leave**

*(TL:FOMH-1; 12-4-95)*

a. Employees will use sick leave when they are physically incapacitated for work or for related reasons such as exposure to contagious disease that would endanger co-workers. It is also for medical, dental, optical exams, or other medical treatments. Sick leave for medical, dental, or optical appointments should be applied for in advance. Agents and support staff must notify their supervisor prior to 0900 hours that they are taking unexpected sick leave. As with emergency annual leave, an employee must re-

quest emergency sick leave through the individual's supervisor. Non-supervisory co-workers are not authorized to approve leave. The supervisor may place an employee on AWOL status for failing to follow these procedures.

b. Normally, the Department requires the employee to provide administratively acceptable evidence such as a physician's certification when the employee's absence exceeds three (3) days. In certain cases, the Department may also require certification for a lesser period when deemed necessary. If the employee fails to provide acceptable evidence of sickness, the supervisor may decide not to grant sick leave and may place the employee in an AWOL status.

c. If special agents assigned to a protective detail get sick, they should inform their shift leader as soon as possible. This ensures that the shift leader can make every effort to find a replacement promptly and can staff the working shift properly. If necessary, special agents should contact the shift leader at home. When assigned to the Secretary's detail, special agents should also telephone the division command post at the Secretary's residence to inform the duty shift supervisor of their request to use sick leave.

### **12 FAH-3 H-121.3 Leave Without Pay (LWOP)**

*(TL:FOMH-1; 12-4-95)*

Leave without pay is a non-pay status and absence from duty, which the SAC may grant in some circumstances upon receipt of an employee's request. The SAC authorizes LWOP based on administrative discretion. Employees do not have a right to LWOP.

### **12 FAH-3 H-121.4 Absence Without Leave (AWOL)**

*(TL:FOMH-1; 12-4-95)*

AWOL is an absence from duty which a SAC has not authorized or for which the SAC has denied approval. AWOL is also a non-pay status and may result in disciplinary action.

### **12 FAH-3 H-121.5 Military Leave**

*(TL:FOMH-1; 12-4-95)*

a. Military leave is for those employees who are reservists in the armed forces or members of the National Guard. (Some types of military duty are not covered. These are specified in the regulations at section 3 FAM 3440 ). The regulations allow for 15 calendar days per year of paid military leave for active duty or training. Competent military authority directs that the em-

ployee may take this leave intermittently or as a bloc. However, military leave is limited to a total of 15 days.

b. Employees in the National Guard of the District of Columbia are an exception. There is no limit to the number of days the supervisor may release them for "ordered parade or encampment."

c. Temporary, intermittent, or part-time employees are not entitled to military leave.

d. Employees must submit requests for military leave to the SAC in writing, together with a copy of military orders. The SAC must approve the scheduling of military leave, taking into account the same factors as considered for the granting of annual leave (see section 12 FAH-3 H-121.1 ).

## **12 FAH-3 H-122 SUPPORT STAFF**

### **12 FAH-3 H-122.1 Recruitment**

*(TL:FOMH-1; 12-4-95)*

a. SACs must maintain close contact with the personnel specialist in DS/OA/PMD to discuss field office clerical needs and to determine what process to use to recruit and fill open position(s). The DS/OA/PMD personnel specialist has primary responsibility for recruitment. Because DS/OA/PMD must consider many factors when recruiting, DS/OA/PMD will maintain close liaison with the appropriate Office of Personnel Management (OPM) district having jurisdiction over the hiring of civil service staff in the geographic area of the field office. DS/OA/PMD must first determine if there is direct hire authority in the area or if it is necessary to request a Certificate of Eligibles from OPM. The SAC and the DS/OA/PMD personnel specialist should also determine whether there is a large pool of Federal employees in the field office area. If so, it may be advisable to advertise the vacancy through the Merit Promotion process within the Department. If neither route appears to be profitable, both avenues may be used concurrently. DS/OA/PMD may ask the SAC for assistance in ensuring wide distribution of announcements and in soliciting applications from individuals.

b. The SAC and/or ASAC should conduct interviews at the respective field offices. The next steps depend on whether the Office of Personnel Management (OPM) Certificate or the Merit Promotion Certificate route is used. If the field office makes a selection from an OPM Certificate, the personnel specialist will determine whether the identified individual is within reach on the certificate and is qualified for the position. Once an individual is identified, DS/OA/PMD will send a "tentative selection" letter which includes the security clearance papers, and the drug testing information kit to the candidate. All applicants must have a negative drug test result before a clearance can be initiated. Upon completion of the drug test, DS/OA/PMD

will forward the necessary paperwork to PER/CSP/SSD for initiation of the clearance or update. A field office will not initiate the clearance process on its own. An applicant must obtain a negative drug test and a satisfactory top secret security clearance in order to be appointed.

c. DS/OA/PMD is solely responsible for making a decision on offering employment. No individual in a field office is authorized to make an offer of employment or promise a position to any applicant.

## **12 FAH-3 H-122.2 Qualification Standards**

*(TL:FOMH-1; 12-4-95)*

All civil service personnel hired into the Bureau of Diplomatic Security, as well as the Department of State, must meet the qualification standards as prescribed by OPM and published in OPM's Handbook X-118. The Hand-book X-118 is maintained in DS/OA/PMD and field offices may contact them at any time for information or guidance.

## **12 FAH-3 H-123 EMPLOYEE EVALUATIONS**

*(TL:FOMH-1; 12-4-95)*

a. One of the most important aspects of the management of a field office concerns the periodic evaluation of all employees. To that end, DS/DSS/FLD encourages both raters and rated employees to keep a record of major accomplishments completed during the rating period to serve as a reminder during preparation of performance appraisals.

b. The Foreign Service annual rating period runs from May 1 to April 30 of the following year. Chapter 3 FAM 2200 , especially subchapters 3 FAM 2240 and 3 FAM 2250 , provides detailed instruction for the preparation of Foreign Service Employee Evaluation Reports (EERs). The Civil Service rating period is from January 1 to December 31.

c. Employees can locate detailed instructions for the preparation of civil service evaluation reports in subchapter 3 FAM 2820 . The following guidelines briefly discuss the responsibilities of the rating, reviewing, and rated officers for all categories of employees.

### **12 FAH-3 H-123.1 Rating Officers**

*(TL:FOMH-1; 12-4-95)*

a. There may be only one rating officer for each rating period. If an employee has more than one supervisor during the rating period, the SAC must identify the rating officer at the beginning of that period and designate that individual to do the rating. Other supervisors may contribute evaluative

comments to the responsible rating officer for inclusion in the employee's evaluation report; this includes agents on detail or TDY. If there is a change of supervisor or employee during the rating cycle, the performance plan should be reviewed, changed if necessary, and signed by both the new supervisor and/or employee, usually within 30 days of entry on the job.

b. Rating offices must adhere to the following guidelines:

(1) Ensure that an EER does not cover more than one rating period. An EER is required for an employee who has worked in a position for 120 days or more under the same supervisor. One is not required if the employee worked for less than 120 days.

(2) Ensure that a description of the employee's duties is agreed to in writing between the rater and the employee to be rated, within 45 days for Foreign Service and 30 days for Civil Service of the beginning of the rating period. The rating officer will amend the description as necessary whenever there is a change of assignment, assumption of additional duties, or circumstances which warrant a review of performance.

(3) Review and discuss his or her performance with each employee at least twice a year.

(4) Ensure that subordinates have a clear understanding of their duties and of the requirements necessary for satisfactory performance.

(5) Discuss, on a periodic basis throughout the rating period, the rated employee's strengths and weaknesses. Also discuss ways to improve performance, enhance professional development, and increase opportunities for career advancement.

(6) Recognize a superior performance in an evaluation and, where appropriate, utilize the incentive awards program.

(7) Prepare, at least annually, a written performance report (EER), evaluating each employee against the mutually agreed job requirements.

(8) Discuss fully and frankly the contents of the report with the rated employee. This is particularly important if the report contains critical judgments.

(9) Document with specific examples any aspects of the performance which are seriously weak or unsatisfactory.

(10) Take appropriate action toward employees whose performance or behavior indicates the need for special counseling, medical treatment, or disciplinary action.

(11) Be aware that every EER prepared on a career candidate is important to that candidate's career.

**NOTE FOR FOREIGN SERVICE ONLY:** Section III.A.1 of the EER must be used for all career candidates. In addition, the rating and reviewing officers should include a recommendation in the narrative for or against tenure or promotion. The rating and reviewing officers should support the recommendation with specific examples.

**NOTE FOR CIVIL SERVICE ONLY:** The rating officer must develop a performance plan which consists of the critical and noncritical job elements of the position. An element may consist of one or more duties of the position. A “critical element” is considered of such importance to satisfactory performance of the job, that if an employee is rated unacceptable in that element, he or she would be unacceptable in the position. A “noncritical element” is one that is not as important as a critical element but still warrants a written appraisal.

## **12 FAH-3 H-123.2 Reviewing Officers**

(TL:FOMH-1; 12-4-95)

Reviewing officers must adhere to the following guidelines:

(1) Base evaluations as much as possible on personal observation. Be sufficiently and personally familiar with the work of the rated employee and be able to make independent observations on performance and potential and not just rely on the evaluation of the rating officer.

(2) Ensure that rating officers are familiar with the evaluation program, are meeting their supervisory and evaluation obligations and are applying uniform rating standards.

(3) Ensure that work requirements for positions are fair, reasonable, and comparable to those of like positions.

(4) Discuss an employee’s job performance when requested to do so by the employee or the rating official or at the reviewing officials’ own initiative.

(5) Review EERs for thoroughness, objectivity, soundness, compliance, and/or discrepancies with Department regulations and instructions.

(6) State whether or not the employee has received adequate supervision and guidance, whether the report by the rating official appears unduly strict or lenient, and whether the reviewer concurs with the report.

## **12 FAH-3 H-123.3 Rated Employees**

(TL:FOMH-1; 12-4-95)

Rated employees should adhere to the following guidelines:

(1) Participate with the rating officer in the formulation of their annual work requirements statement or when entering on a new job. This statement should include the goals and responsibilities of the position, making certain both parties understand what will constitute a successful performance.

(2) Meet periodically with the rating officers to discuss work performance and ways to improve it.

(3) Include personal views of the job and job performance (including most significant achievements) in the rated employee section of the EER. Also include comments on the evaluation itself. Discuss career prospects, training, and assignment preferences and any other circumstance that should be considered.

**NOTE:** Rating and reviewing officers should refer to section 3 FAM 2240 when rating FSO career candidates and section 3 FAM 2250 when rating special candidates.

## **12 FAH-3 H-123.3-1 Linking Performance Ratings to Other Personnel Actions**

*(TL:FOMH-1; 12-4-95)*

a. **Within-grade Increase:** This increase is based on the supervisor's certification that the employee's performance is at the Fully-Successful level of competence.

b. **Quality Step Increase (QSI):** The supervisor may recommend an employee for a QSI based on an Outstanding rating.

c. **Performance Award:** An employee may be recommended by his or her supervisor for a cash performance award based on a Fully-Successful, Excellent, or Outstanding rating.

## **12 FAH-3 H-124 RESIGNATIONS AND RETIREMENTS**

### **12 FAH-3 H-124.1 Resignations**

#### **12 FAH-3 H-124.1-1 Foreign Service**

*(TL:FOMH-1; 12-4-95)*

a. The following procedures apply when resigning from the Foreign Service and leaving the Federal Government:

(1) Submit a letter of resignation addressed to the Secretary of State stating the proposed date and reason for resignation. Additional information may be included if desired.

**NOTE:** Foreign Service personnel should note that individuals must be paneled out of the Foreign Service before their resignation becomes effective. This process usually requires 10-14 days lead time.

(2) Submit Form OF-126, Residence and Dependency Report including a forwarding address for all future contact and the letter of resignation to PER/CDA/DS with copies to DS/OA/PMD.

(3) Contact PER/RCT to discuss procedures for Foreign Service resignation, possible annuities, insurance, etc.

(4) All diplomatic and official passports, including dependents' passports must be accounted for. An employee's cancelled passport may be retained as a souvenir. If employees wish to keep their passports as souvenirs, they must first submit them to the passport office for cancellation and then submit a photocopy of the cancellation stamp to DS/OA/PMD for the files. If employees do not wish to keep their passports, they must turn them in to DS/OA/PMD. The personnel specialist will have them cancelled and destroyed.

b. If the purpose of resignation from the Foreign Service is to accept a position with another Federal agency, the employee should take the following steps:

(1) Ask the receiving agency to contact the appropriate personnel specialist in DS/OA/PMD to work out a suitable release date. When the receiving agency provides a proposed date to DS/OA/PMD, the personnel specialist will contact the SAC to obtain approval of the date of departure.

(2) Submit a letter of resignation addressed to the Secretary of State stating the proposed date and reason for resignation and indicating the name of the receiving Federal agency. Additional information may be included if desired.

(3) Submit an OF-126, Residence and Dependency Report together with the letter of resignation to PER/CDA/DS with copies to DS/OA/PMD;

(4) Contact PER/RCT to discuss procedures for resignation, possible annuities, insurance, etc.

(5) Submit all official and diplomatic passports, including dependents' passports to the Office of Passport Services for cancellation, or to retain as a souvenir see section 12 FAH-3 H-124.1-1 , paragraph a(4).

## **12 FAH-3 H-124.1-2 Civil Service**

*(TL:FOMH-1; 12-4-95)*

Resigning personnel should contact their DS/OA/PMD specialist for assistance on the correct resignation procedures. If individuals are resigning to go to another Federal agency, the receiving agency must contact PER/CSP/SSD for a release date. If individuals are resigning and leaving Federal government employment, they must submit a letter of resignation to DS/OA/PMD through their supervisor. The letter should give the date and reason for resigning and a forwarding address. The DS/OA/PMD specialist will process all necessary forms, including health, life insurance, Thrift Savings Plan (TSP), etc.

## **12 FAH-3 H-124.2 Retirements**

### **12 FAH-3 H-124.2-1 Foreign Service**

*(TL:FOMH-1; 12-4-95)*

Special agents in the Foreign Service who plan to retire should contact PER/RCT to discuss Foreign Service retirement as soon as possible. PER/RCT is responsible for doing personnel actions and completing all forms necessary for retirement, including health and life insurance, pension and annuities, thrift savings plan, etc. Each retiree will be assigned to a technician who will be able to explain the procedure.

### **12 FAH-3 H-124.2-2 Civil Service**

*(TL:FOMH-1; 12-4-95)*

Civil service employees who are planning to retire should contact PER/RCT to discuss annuities, insurance, etc. Also contact a DS/OA/PMD specialist for information pertaining to the retirement application and procession out.

## **12 FAH-3 H-124.3 General Departure Requirements**

*(TL:FOMH-1; 12-4-95)*

SACs must ensure that individuals complete the following procedures in all cases of resignation and retirement:

(1) Clear all travel vouchers and advances with the New Orleans Finance Center and with FMP Voucher section.

(2) Return all old, new, and special issue building IDs to DS/OA/PMD. These IDs are accountable and must be returned. If an ID is lost, the employee must submit a memorandum to DS/OA/PMD stating when and where it was lost.

(3) Submit all official and diplomatic passports to the Office of Passport Services for cancellation, or to retain as a souvenir see section 12 FAH-3 H-124.1- 1 paragraph a(4).

(4) Return all American Express credit cards to DS/OA/PMD and notify American Express to cancel the account. For employees who may have applied for but not yet received a card, inform DS/OA/PMD of this situation.

(5) Every employee is expected and considered to be in work status through his or her last day on Department rolls. Each employee must complete a Form OF-109, Separation Statement, and submit it to the DS/OA/PMD specialist on the employee's last day of duty.

## **12 FAH-3 H-124.4 Returning Equipment**

*(TL:FOMH-1; 12-4-95)*

a. Employees, whenever they resign, retire, or are otherwise required to turn in their equipment, must use the following procedures to return all issued equipment, such as:

- (1) Weapons;
- (2) Communications equipment;
- (3) Manuals;
- (4) Credentials; and
- (5) Ids.

b. The SAC or his or her designee must:

(1) Inventory and ship all turned-in equipment via UPS or Federal Express to the various offices given below (see 12 FAH-3 H-124 Exhibit H-124.4 , DS Inventory and Receipt for Issued Equipment Form);

(2) Enclose a copy of the inventory in the shipment and send a second copy by separate mail to each addressee office;

(3) Transmit the original inventory list to the specialist in DS/OA/ASD and keep a copy at the field office for twelve months;

(4) Transmit a FAX copy of the inventory to DS/DSS/FLD as soon as possible and also provide a copy of the inventory list to the departing agent;

(5) Send handcuffs, protective vests, speed loaders, magazines, and weapons to

DS/PSP/PE  
7949 Cluny Court  
Springfield, Virginia 22153

(6) Retain and utilize turned-in cartridges at the field office;

(7) Send radios and associated equipment to

U.S. Department of State  
Office of Communications  
Radio Support Branch  
IM/SO/PO/MT-RF  
7500 Boston Boulevard  
Springfield, Virginia 22153

(8) Return published materials to U.S. Department of State Publication Coordinator DS/SA/PA 3rd floor, SA-10 Washington D.C. 20522-1003 and

(9) Cut agents' credentials diagonally prior to transmittal and send them together with badge and lapel pins to DS/EX/PLD.

**NOTE:** The SAC or the SAC's designee will notify DS/DSS/FLD immediately if any items are not turned in by departing agents.

## **12 FAH-3 H-125 OFFICE SAFETY**

*(TL:FOMH-1; 12-4-95)*

a. Employees who suffer an on-the-job injury may be entitled to benefits under the Federal Employees' Compensation Act (FECA) administered through the U.S. Department of Labor.

b. DS/OA/PMD is the point of contact within the Bureau for details and instructions concerning workers' compensation. (Information can also be obtained from the Office of Workers' Compensation (OWCP), U.S. Department of Labor or in Chapter 810 of the OPM's Federal Personnel Manual.)

c. In general, employees should follow these procedures:

(1) In case of injury, obtain first aid or medical treatment even if the injury is minor;

(2) For traumatic injuries ask the employer to authorize medical treatment on Form CA-16 before going to a doctor;

(3) Report every injury to a supervisor and submit written notice of the injury within 30 days on Form CA-1 in the event of a traumatic injury or Form CA-2 if the injury was an occupational disease or illness (any illness/injury that occurred over more than one eight-hour shift). (For detailed information carefully read the sheets which are attached to Forms CA-1 and CA-2.)

(4) A "Receipt" of Notice of Injury is attached to each Form CA-1 and Form CA-2. The employee's supervisor should complete the receipt and re-turn to the employee.

(5) The supervisor must complete and forward form DS-1663, "Supervisor's Report of Accident," to DS/OA/PMD. DS/OA/PMD will forward the form to the safety officer, where all accidents will be reviewed in order to avoid possible future safety hazards.

d. OWCP will assign the concerned employee a claim number which must be included on all correspondence and claims. Because the workers' compensation procedure is complicated and lengthy, it is important that employees provide their supervisors and DS/OA/PMD with copies of all their submissions of bills, correspondence, etc. with OWCP.

e. The Labor Department will require several months at a minimum to adjudicate employee claims.

**NOTE:** There is no guarantee that the Department of Labor will accept an injury as a work-related claim. Each employee is responsible for his or her own medical bills. If the Department of Labor subsequently accepts a claim and the employee has already paid medical bills, the Department of Labor will directly reimburse the employee.

**12 FAH-3 H-126 THROUGH H-129  
UNASSIGNED**

# 12 FAH-3 H-124 Exhibit H-124.4

## INVENTORY AND RECEIPT FOR DS-ISSUED EQUIPMENT

### INVENTORY AND RECEIPT FOR ISSUED EQUIPMENT

The following items were received for turn - in from the person identified below:

ITEM DESCRIPTION	SERIAL NUMBER	RECEIVED
Handgun		
Handheld Radio		
Credentials		
Badge		
State Department ID		
PRS Identification Pin		
Official/Diplomatic Passport		

ITEM DESCRIPTION	RECEIVED
Radio Wires	
Protective Vest	
Holster/Pouches	
Speedloader(s)	
Handcuffs	
Cartridges	

#### REASON FOR ACTION:

Resignation	Retirement	Other:
		(Specify)
Received From:		Received By:
Name		Name
SSN		Title
Signature		Signature
Date		Date