



**HUMAN RESOURCES**

**3.7 Personnel Security**

**PRE-APPOINTMENT Investigation are required for the following positions:**

1. **Special-Sensitive**
2. **Critical-Sensitive**
3. **Noncritical-Sensitive**
4. **Non-Sensitive**

**A. General**

1. Executive Order 10450 states that Special-Sensitive, Critical-Sensitive, and Noncritical-Sensitive positions will be filled only by persons who have undergone a pre-appointment investigation to determine whether or not the employment of such individuals is clearly consistent with the interests of national security and the efficiency of the USMS.
2. DOJ Order 2610.2A requires that all positions be filled only by persons on whom a pre-appointment, full-field investigation has been conducted, unless a waiver of that requirement has been obtained. The Department of Justice has delegated authority to the USMS to grant background investigation waivers to fill positions in the USMS.
3. This applicant processing requirement applies (except for USMS attorney personnel and personnel appointed by the President) to temporary, part-time and permanent positions, including student volunteers, interns, recurrent prisoner guards, administrative guards and Air Operations guards. Current sworn law enforcement officers who are used as prisoner guards on a one-time basis do not have to be processed under these procedures. Deputy U.S. Marshals or Deputy U.S. Marshal co-op applicants are processed by the Human Resources Division.
4. To obtain employment security approval from the Human Resources Division, the application package(s) of the qualified candidate(s) should consist of:
  - a. Form SF-86, Questionnaire for Sensitive Positions (original and two copies, all with original signatures). Form SF-86A, continuation Sheet.
  - b. Form SF-171, Application for Federal Employment (or suitable substitute document). Form USM-234, Personal Qualifications Statement (Contract Guard), may be substituted for the Form SF-171 for guard positions.
  - c. Form SF-87A, Applicant Fingerprint Card, four originals.
  - d. Form USM-164, USMS Applicant Appraisal Questionnaire, from each of applicant's employers for the last five years. (Periods of unemployment should be discussed with an ISD Security Specialist.) Intern positions require Form USM-164s from each of the applicant's employers for the last three years.
  - e. Form USM-164 from a minimum of three personal references or close associates. Interns require only one personal reference, which should be a teacher, counselor, etc., if possible.



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- f. Form DD 214 - *Long Version, Report of Separation from Active Duty* (required on all applicants who indicate prior military service on their applicant forms).
  - g. *Form I-9, Employment Eligibility Verification*. Part 1 is filled out by the applicant, and Part 2 is filled out by USMS personnel.
  - h. National Crime Information Center (NCIC) and National Law Enforcement Telecommunications System (NLETS) results obtained for all states in which the applicant has resided, worked or attended school during the past five years.
5. Upon receipt of a favorable security approval determination from the HRD, the Personnel Officer will approve the appointment and authorize a reporting date.

## BADGES AND CREDENTIALS

- A. **Proponent:** Human Resources Division, Telephone (202) 307-9485; FAX (202) 307-9366.
- B. **Purpose:** This directive describes the United States Marshals Service (USMS) official identifying badges and credentials for employees of the USMS. The policy outlines the administrative procedures of the Badge and Credential Program and procedures for the safeguarding of badges and credentials against misuse.
- C. **Authority:** The Director, USMS is authorized pursuant to 18 USC 701 and DOJ order 2610.1A to create credentials for employees of the USMS.
- D. **Policy**
  - 1. **Use of Badges and Credentials**
    - a. While on duty, all USMS operational employees must carry their credentials identifying them as duly authorized federal law enforcement officials.
    - b. USMS badges and credentials may be used only by the persons to whom they are issued and for actions performed in the line of official duty. Credentials will be issued only to permanent USMS employees. Exceptions to this policy may only be made by the Director, USMS.
    - c. Employees may not alter or change the officially issued credential case in any way including, but not limited to, affixing any unauthorized item or writing to it.
    - d. Employees are responsible for safeguarding their USMS badge and credentials. Employees may be required to pay for actual replacement or may be disciplined in the case of loss, theft, or unauthorized destruction of badges and credentials. Employees must store their badges or credentials in a secure location affording reasonable safeguards against theft or loss.
  - 2. **Issuance and Surrender**
    - a. Credentials signed by a previous USMS Director remain valid.
    - b. Operational employees will only be issued, one set of credentials, one credential badge, and one belt badge with the same number as the credentials.
    - c. Employees serving an interim or temporary appointment as a U.S. Marshal made by the Attorney General will receive a set of U.S. Marshals credentials with a gold case badge and belt badge. If a current law enforcement officer is serving as interim USM, they must turn in their current issue upon receipt of their interim issue.
    - d. Upon exiting federal service, all employees must surrender all badges and credential

cards in their custody to the U.S. Marshal or appropriate superior.

3. **Reproduction and Replication:** No individual or entity may reproduce and/or replicate official USMS insignia/indicia without written approval of the Director, USMS (see policy topic, USMS Name/Insignia.)
  - a. USMS employees, guards, contract personnel, and other individuals are not authorized to carry or display unofficial replicas of USMS badges while performing duties on behalf of the USMS.
  - b. Employees having knowledge of unauthorized badge or credential reproduction, commercial or otherwise, must report it at once to the Badge and Credential Program, Human Resources Division (HRD); the Office of Assistant Director for Operational Support, Office of Inspection; and the Office of General Counsel.
  - c. USMS personnel are prohibited from creating new USMS badges or ordering USMS duty badges or credential cases directly from manufacturers. All requests for replacement badges, the creation of new badges, or the ordering of credential cases will be coordinated by the Badge and Credential Program, HRD.

**E. Procedures**

**1. New-issue Badges and Credentials for Permanent Employees**

- a. The U.S. Marshal, Chief Deputy, or Assistant Director will request USMS badges and credentials for new employees, employees who have never had badges or credentials, or for special deputies whose credentials have expired. Only employees will be issued USMS badges and credentials.
- b. The U.S. Marshal, Chief Deputy, or Assistant Director should sign and submit Form USM-287, *Request for Badge/Credential Action*, along with two color pictures and a credential signature sheet signed by the employee in black ink. Employees must sign the signature sheet exactly as the name will appear on the credential.
- c. The Badge and Credential Program, HRD, will forward the completed credentials, credential badge, and the belt badge to the requesting U.S. Marshal, Chief Deputy, or Assistant Director. The completed credentials and/or badges will be accompanied by Form USM-288, *Hand Receipt-Badge/Credential*. The individual to whom the credentials and/or badge are issued must sign Form USM-288 and immediately return the signed form to the Badge and Credential Program, HRD.
- d. ISD, which administers the Special Deputy Program, may authorize USMS badges and credentials for special deputies in exceptional circumstances.

**2. Identification Cards for Guards, Students, and Temporary or Intermittent Employees**

- a. The U.S. Marshal, Chief Deputy Marshal, or Assistant Director will sign and submit Form OF-55, *U.S. Government Identification*, with a photograph of the person named in the form when students, intermittent guards, or temporary employees need identification for a short period of time to gain access to their work area.
- b. The U.S. Marshal will issue identification cards to guards who will work in their district. The district office will submit a USM-287 to the HRD. The HRD will then forward all necessary supplies (except laminating equipment) so the district can create the identification cards.
- c. Guards must surrender their ID cards issued from other district(s) to the U.S. Marshal of the district in which they are currently working, except if the guard is to work in another district for 30 days or less.

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3. **Replacement and Updated USMS Badges and Credentials**

- a. The U.S. Marshal, Chief Deputy Marshal, or Assistant Director will request replacement badges and credentials using the same procedures as outlined for new-issue credentials and badges. When the need for a replacement credential, credential badge, and/or belt badge occurs **at the same time** (for example, when an individual is transferred between districts or between a district and Headquarters), the U.S. Marshal, Chief Deputy Marshal, or Assistant Director will request the replacements **after** reporting for duty at the new organization. All requests must be sent to the Badge and Credential Program, HRD.
- b. The U.S. Marshal, Chief Deputy Marshal, or Assistant Director will request replacement or updated credentials using the Form USM-287 when one or more of the circumstances described below occurs.
- c. Change of position title which necessitates a change to only the authority (top) card of the credential.
- d. Loss of badge(s) and/or credential.
- e. Change of name of the individual to whom the credential is issued. Explain reason(s) in attachment to the Form USM-287. Send a new signature sheet with new photographs.
- f. Change in appearance of the individual to whom the credential is issued to the extent that the photograph on the existing (bottom) credential sheet bears little resemblance to the individual. Send a new signature sheet with new photographs.

4. **Lost or Stolen Badges and Credentials**

- a. **Reporting Lost or Stolen Badges and Credentials:** The individual to whom a USMS badge(s) or credential is issued is responsible for immediately reporting the loss or theft of the badge(s) or credential to the U.S. Marshal or Headquarters division, as appropriate. The U.S. Marshal, Chief Deputy Marshal, or Assistant Director shall immediately notify the local police and the local office of the Federal Bureau of Investigation. Loss includes misplacement or any other circumstance that results in the employee no longer having physical possession of the badge(s) or credential.
- b. **Replacing Lost or Stolen Badges and Credentials:** The U.S. Marshal, Chief Deputy Marshal, or Assistant Director shall request replacement of lost USMS badges and credentials on Form USM-287 following the procedures outlined for new badges and credentials (see above). Because badges and credentials are numbered in sets (credential and two badges), the loss of the badge or credential requires the issuance of another set bearing a different number.

5. **Accountability**

- a. USMS badges and credentials are issued directly to individual employees by the Badge and Credential Program, HRD. The Badge and Credential Program will maintain records that document current badge issuance and provide the official inventory record of receipt for badge issue.
- b. At the beginning of the calendar year, every district and headquarters division will inventory badges and credentials issued to district and division personnel and certify the results to the Badge and Credential Program, HRD, by March 1 of each year.

6. **Return of Badges and Credentials**

- a. An employee terminating his or her federal service by retirement will inform the Badge and Credential Program, HRD, by telephone, fax, or e-mail regarding the badge/credentials to be returned, including the badge/credentials number. The employee shall then return his or her badge/credentials to the appropriate U.S. Marshal, Chief Deputy Marshal, or Assistant Director, who shall return the employee's credential and

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badge to the Badge and Credential Program, HRD, as soon as possible (see below).

- b. When an employee terminates federal service for any reason other than retirement (i.e., resignation, transfer outside the USMS, death, expiration of appointment, etc.), the U.S. Marshal, Chief Deputy Marshal, or Assistant Director will return the employee's credential and badge to the Badge and Credential Program, HRD, as soon as possible.
  - c. All badges and credentials must be returned in person to the official duty station or via registered mail or any commercial parcel delivery service that provides receipts and has the capability to track missing or lost packages.
  - d. When a Court Security Officer (CSO) leaves USMS employment, the USMS employee assigned as the Contract Officer's Technical Representative (COTR) will destroy the contractor issued CSO identification card, and safeguard the government issued CSO pocket badge. The COTR will notify the Judicial Protective Services, Judicial Security Division when the identification card is destroyed and the pocket badge is secured.
7. **Retirement Badges and Credentials:** Retirement duty badges and credentials retained by retired employees as mementos are addressed in directive topic Retirement Credentials and Badges.

**F. Responsibilities**

1. **U.S. Marshals, Chief Deputies, and Assistant Directors:** Responsible for requesting, retrieving, and returning USMS badges, credentials, and other issued identification from district employees or contractors who are hired, terminated, or who no longer have a need for such identification.
2. **Employees:** Responsible for safeguarding the USMS badge(s) and/or credential and returning badges and credentials to the USMS upon termination of employment.
3. **Assistant Director for Human Resources:** Responsible for authorizing changes to the list of approved credential titles and issuing badges and credentials.

**G. Definitions**

1. **Credentials:** Tangible means of identifying all permanent, full or part-time employees that are issued for the duration of employment and are considered accountable property. Credentials include the top and bottom cards.
2. **Badges:** Metal emblems that formalize the identification of operational employees who are issued law enforcement credentials. The USMS credentials badge and the belt badge contain the same numbers as the corresponding credential. A badge may not stand alone, but must be confirmed by a matching law enforcement credential.



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