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SPECIAL COUNSEL
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Office of Inspector General

U.S. Department of Homeland Security
Washington, DC 20528



**Homeland
Security**

March 1, 2006

U.S. Office of Special Counsel
Attn: Karen Gorman
1730 M St., N.W., Suite 201
Washington, D.C. 20036-4505

Re: OSC File No. DI-05-1173

Dear Ms. Gorman:

This is to transmit to you the final, redacted version of the Office of Inspector General investigative report, I05-BICE-SID-09277S, on allegations concerning the Federal Air Marshal Service (FAMS). We prepared this product in consultation with the Sensitive Security Information Program Office of the Transportation Security Administration to ensure accuracy.

Most of the redacted information has been determined to constitute Sensitive Security Information pursuant to 49 C.F.R. Part 1520, and is marked "SSI." FAMS operating procedures, including deployment numbers, are protected from disclosure under 49 C.F.R. § 1520.5(b)(8)(ii), and names are protected under § 1520.5(b)(11)(i)(D).

We also made certain redactions for information that is classified as Secret. These are marked "5 U.S.C. § 552 (b)(1) and Exec. Order No. 12953, as amended" to indicate both the FOIA exemption and the primary executive order covering classified documents.

One redaction was made on page 25 for the direct phone number for Ms. McMullen under the authority of FOIA section 552(b)(2). Exemption 2 permits agencies to withhold relatively trivial administrative information that does not illuminate an agency personnel rule or practice.

Finally, a small group of redactions are made for names of an OIG Special Agent and a FAMS employee whose name is not considered SSI. These redactions are appropriate under 5 U.S.C. § 552 (b)(7)(C), the FOIA exemption designed to protect personal information contained in law enforcement files. This provision exempts from disclosure records or information compiled for law enforcement purposes the production of which

could reasonably be expected to constitute an unwarranted invasion of personal privacy. See U.S. Dept. of Justice v. Reporters Committee for Freedom of the Press, 489 U.S. 749 (1989); Nix v. U.S., 572 F.2d 998, 1006 (4th Cir. 1978) (identities of law enforcement and other government officials protected). Redactions taken under this authority are labeled with either the entire statutory citation or as “b7” or “b7C.”

Please feel free to contact me if you have any further questions or concerns. I may be reached at (202) 254-4209.

Sincerely,

A handwritten signature in cursive script that reads "Ric Doery".

Ric Doery
Assistant Counsel to the Inspector General

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Homeland Security

CLASSIFIED DOCUMENT
RECORD OF TRANSMITTAL

TRANSMITTAL DATE

SECTION A - ADDRESSEE AND SENDER <i>(Type or Print in Ink)</i>	
TO: Michael Chertoff or designee Secretary Department of Homeland Security Washington, DC	FROM: Richard Skinner Inspector General DHS OIG Washington, DC

SECTION B - DOCUMENT DESCRIPTION <i>(Type or Print in Ink)</i>				
CLASSIFICATION	DATE OF DOCUMENT	Description - (Identify items such as report, letter, memo, etc. Unclassified subject or short title. Copy number and number of attachments.)	ORIGINATOR	# OF COPIES
SECRET/NOFORN	N/A	REPORT OF INVESTIGATION WITH ATTACHMENTS	DHS OIG	1

SECTION C - ACKNOWLEDGEMENT OF RECEIPT		
NAME <i>(Type or Print)</i>	SIGNATURE	DATE

SECTION D - RECORD OF INTERNAL TRANSMITTAL				
ADDRESSEE	COPY NO.	NAME OF RECIPIENT <i>(Type or Print in Ink)</i>	SIGNATURE	DATE
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Homeland Security

MEMORANDUM FOR: Richard Skinner
Acting Inspector General

FROM: Michael Chertoff 

SUBJECT: Office of Special Counsel Referral Regarding OSC File
No. DI-05-1173

Attached please find the Office of Special Counsel (OSC) referral regarding OSC File No. DI-05-1173. I hereby refer this matter to you to investigate and prepare the report required by 5 U.S.C. § 1213 for my review and signature. Please note the time limitations for complying with the OSC's referral and ensure that I have the report back from your office with sufficient time to review and transmit.

DEPARTMENT OF HOMELAND SECURITY
OFFICE OF INSPECTOR GENERAL

REPORT OF INVESTIGATION

IN05-BICE-SID-09277S



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Homeland Security

REPORT OF INVESTIGATION

Case Number:	I05-BICE-SID-09277S
Case Title:	Federal Air Marshal Service
Report Status:	Final
Alleged Violation(s):	5 CFR 2635 - Misuse of Position

Classification Acronym List

- (U) Unclassified
- (LES) Law Enforcement Sensitive
- (NF or NOFORN) No Foreign Dissemination
- (FOUO) For Official Use Only
- (S) SECRET

SYNOPSIS

(U/FOUO) This investigation was initiated by the Office of Inspector General (OIG) based upon OIG's receipt of an "anonymous" whistleblower (WB) complaint from the U.S. Office of Special Counsel (OSC). [Agent's Note: The identity of the WB, a Federal Air Marshal (Air Marshal) stationed in Las Vegas, Nevada, who requested anonymity, was not disclosed to the OIG, therefore, OIG agents were unable to interview the complainant concerning his allegations.] According to the OSC referral, the WB alleged that Federal Air Marshal Service (FAMS) management overstated the number of flights covered by the Air Marshals in internal reports and representations to Congress in order to make it appear that the agency had met Congressionally mandated staffing levels. The WB's complaint was apparently predicated upon his review of a computer-generated report that summarized the activity of the Air Marshals in December 2004. The WB alleged that this report, which was generated by the FAMS Crystal Reports System (CRS) software, reported that Air Marshals flew on SSI flights as were actually covered by the agency. According to the WB, FAMS staffing levels and existing operating procedures would make it impossible for the Air Marshals to cover the number of flights represented in the CRS report that he

Classification	Federal Air Marshal Service Sabre Air Crew database.		
Derived from:			
Declassify on:	Source document titled "FY 2005 (Federal Air Marshal Service (FAMS) Staffing and Flight Coverage," dated to declassify 10/18/2014.		
<i>Reporting Agent</i>		<i>Distribution:</i>	
Name: b7C 5 USC § 552 (b)(7)(C)	Signature:	Special Investigations Div	Original
Title: Senior Special Agent	Date: b7C	Headquarters	Cc
<i>Approving Official</i>		Components(s)	Cc
Name: G. Michael Wilson	Signature:	Other	Cc
Title: Special Agent in Charge	Date: 8/5/05		

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REPORT OF INVESTIGATION

reviewed. The WB further alleged that the FAMS relied upon the statistics in these internal reports to determine the bonuses awarded to Special Agents-in-Charge (SACs), thereby using the inflated statistics to justify the bonuses that they received. Finally, the WB alleged that when the inflated flight coverage statistics were brought to the attention of FAMS Headquarters (HQ), they reacted by depriving first-line supervisors of access to the CRS.

(U/FOUO) Our investigation found no evidence to substantiate the allegations that the FAMS had inflated their flight coverage statistics in an internal report or a subsequent report to Congress. Our investigation also found no evidence to suggest that the FAMS used inflated flight coverage statistics to justify bonuses for their SACs. Our investigation confirmed that the FAMS began limiting access to their internal database to supervisory personnel and those with an official "need to know" after they learned of an apparent improper disclosure; however, nothing precluded them from taking appropriate measures to increase their information security by limiting access to the database and the sensitive information it contains.

(U/FOUO) This report is being referred to the Secretary for appropriate action and requisite response to OSC.

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REPORT OF INVESTIGATION

DETAILS

(U/FOUO) On April 28, 2005, the Department of Homeland Security (DHS), Office of Inspector General (OIG), received an anonymous whistleblower (WB) complaint from the U.S. Office of Special Counsel (OSC), through the DHS Secretary's Office. According to the referral documents provided by the OSC, the WB alleged the following:

- Federal Air Marshal Service (FAMS) management overstated the number of flights covered by Federal Air Marshals (Air Marshals) in internal reports and representations to Congress in order to make it appear that the agency had met Congressionally mandated staffing levels. Specifically, a report generated by the FAMS Crystal Reports System (CRS) computer software summarized Air Marshal activity in December 2004 and reflected that Air Marshals flew on SSI flights as actually covered by the agency. [Agent's Note: While the WB did not see similar reports representing the deployment of Air Marshals in other months, he maintained that such reports were generated on a regular basis.] According to the WB, FAMS staffing levels and existing operating procedures would make it impossible for Air Marshals to cover the number of flights that were reflected in the report, and later provided to Congress. In his OSC referral, the WB contended that the report he reviewed erroneously counted each time an Air Marshal flew as a " SSI " The WB SSI further contended that based upon the fact that he had never heard the term SSI []
- The inflated flight coverage statistics obtained from the CRS were a significant factor in justifying the bonuses awarded to the FAM Special Agents in Charge (SACs).
- When FAMS Headquarters (HQ) became aware of reports that flight coverage statistics were being inflated, they reacted by depriving first-line supervisors of access to the CRS. (Exhibit 1)

(U/FOUO) On May 2, 2005, the OIG contacted Catherine McMullen, Chief, Disclosure Unit, OSC, Washington, DC, in an attempt to identify and interview the WB. McMullen stated that OSC policy prohibited her from disclosing the identity of the WB. At the request of the OIG, McMullen contacted the WB and ascertained that there was no additional information to be obtained. McMullen stated that the WB provided no copies of the alleged database documents to the OSC. (Exhibit 2)

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REPORT OF INVESTIGATION

(U/FOUO) Allegation 1: A report generated by the FAMS CRS computer software summarizing Air Marshal activity in December 2004 reflected that Air Marshals flew on [SSI] flights as actually covered by the agency.

(U/FOUO/LES) When interviewed by the OIG, [SSI] Systems Operation Control Division (SOCD), Missions Operations Section (MOS), FAMS, U.S. Immigration and Customs Enforcement (ICE), stated that the primary FAMS database is called "[SSI] (Sabre)." The Sabre database contains the statistical information on which essentially all FAMS queries and reports are based. FAMS employees can access the Sabre database either directly through Sabre, or indirectly through the CRS, a generic database reporting system that runs pre-designed queries through the Sabre database to produce various reports. [SSI] stated that direct access to the Sabre database is limited to approximately five employees, who are each authorized to input data into the system, whereas, the CRS users are only permitted to run queries and generate reports, not input data.

(U/FOUO/LES) [SSI] stated that numerous employees from the 21 FAMS Field Offices, HQ, and Mission Operations have access to the CRS. [SSI] stated that no formalized training is provided to CRS users; however, the users are given a user's guide that explains how to retrieve data, run queries, and generate reports. The user's guide also provides specific information regarding what information is available on specific screens (using software terminology) within the system, and explains what data is being displayed on each screen. The CRS has two modes of access:

- Regular (access for 300 plus users): Designed for use by Field Office Operations Division and SACs to have information readily available in case of a crisis, and to accommodate Air Marshal schedule changes. The CRS permits users to access information about flights that Air Marshals are currently traveling on, cities that Air Marshals are remaining overnight in, and specific airports that Air Marshals are transiting through.
- Management (access to approximately nine upper management users in HQ and the MOS): Used to determine the number of missions and hours flown for quality control at the SOCD and also provides trend analysis of specific Field Office flight statistics. This system also maintains statistics for HQ management to determine awards given out to Air Marshals for most missions and hours flown. [Agent's Note: This information is not available to Field Office supervisors so that awarding criteria cannot be manipulated at that level.]

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(U/FOUO/LES) [redacted] demonstrated the (Regular) CRS for the date December 12, 2004. [Agent's Note: [redacted] queried this date because the statistics associated with this date apparently correspond to those referenced in an article, which appeared in the Washington Times, a newspaper serving the Washington, D.C. metropolitan area.] The CRS query for this date disclosed that there were [redacted]

SSI

SSI

[redacted] on December 12, 2004.

explained that the FAMS does not utilize the statistic of [redacted]

SSI

49 CFR § 1520.5(b)(8)(ii)

5 USC § 552 (b)(1)

and

Exec. Order No. 12953, as

amended

(U/FOUO) [Agent's Note: Subsequent to the OIG's review of the FAMS Staffing and Flight Coverage report for FY 2005, John Young, Chief, Administrative Security Division, Office of Security, DHS, Washington, DC, reviewed the document and determined that according to DHS guidelines, the document would be more appropriately classified as SECRET minus the NOFORN. The FAMS concurred with Young's recommendation that the classification markings appear at each specific section of statistics instead of an overall classification marking. The FAMS is in the process of making the recommended changes to the document.]

(U/FOUO/LES) When interviewed by the OIG, [redacted] SSI Congressional Affairs, FAMS, ICE, [redacted] SSI stated that Congress does not mandate the staffing requirements of the FAMS.

[redacted] SSI stated that the only staffing guidelines the FAMS have ever received was a November 14, 2001, memorandum from then Deputy Secretary of Transportation, Michael P. Jackson, which directed the FAMS to train [redacted] SSI Air Marshals by July 1, 2002, and provided specific guidelines for the utilization

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REPORT OF INVESTIGATION

of the Air Marshals in the field. [SSI] stated that the FAMS does not have a "mandated" or "authorized" strength level; therefore, they rely upon the November 2001 memorandum for staffing guidance. (Exhibit 4)

(U/FOUO) Allegation 2: The FAMS used inflated flight coverage statistics as the significant factor in justifying the bonuses awarding to SACs.

b7c (U/FOUO) The OIG interviewed [SSI] [SSC & SSI (b)(7)(C)] FAMS, who provided a copy of the FAMS Recognition Program Directive, OMS 1140, which was established on June 30, 2004, by Thomas Quinn, Director, FAMS. Per the directive:

The overall purpose of the FAM Recognition Program is to acknowledge Air Marshals who fly a superior number of missions each calendar year. This program shall recognize individual Air Marshals for their hard work and dedication, as well as, promote quality performance throughout the Service.

[b7c] explained that directive OMS 1140 only applies to Air Marshals. [Agent's Note: OMS 1140 does not apply to supervisors such as FAMS SACs.] (Exhibit 5)

(U/FOUO) When interviewed by the OIG, [SSI] Policy and Compliance Unit, FAMS, ICE, [SSI] stated that FAMS flight statistics are not used to evaluate SACs for awards or bonuses. [SSI] provided the OIG with copies of the three performance plans that were used for various FAMS supervisors:

- *DHS Performance Appraisal Form for Senior Executive Service/TSES
- *Performance Agreement for Other Supervisor/Manager (i.e., non-executive)
- *Employee Performance Agreement (specific standards for supervisors)

(U/FOUO) A review of the three supervisory performance plans provided by [SSI] disclosed no evidence to suggest that the number of flights/missions by Air Marshals were considered in evaluating or awarding bonuses to FAMS supervisors. Review of the one bonus awarded to a FAMS SAC from July 2004, to December 2004, disclosed no evidence to suggest that flight statistics were used as a justification for the award. (Exhibit 5 and 6)

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REPORT OF INVESTIGATION

(U/FOUO) Allegation 3: When FAMS HQ became aware of reports that flight coverage statistics were being inflated, they reacted by depriving first-line supervisors of access to the CRS.

(U/FOUO/LES) [SSJ] explained that shortly after an article appeared in the Washington Times newspaper in March 2005, which appeared to contain sensitive FAMS information apparently obtained from CRS, FAMS HQ tasked him to determine how many Air Marshals had access to the CRS. Pursuant to this request, [SSJ] contacted the 21 Field Office SACs and identified approximately 30 non-supervisory employees whose duties did not require regular access to the CRS, for whom CRS access was withdrawn. [SSJ] explained that office supervisors and Air Marshals assigned to the operations desk at the Field Office are the only employees who require access to the CRS. [SSJ] stated that the list of users for the CRS is constantly changing because of continuous reassignments of Air Marshals in and out of Field Office operations sections. [SSJ] added that he honors all requests from supervisors (J band or higher) to grant access to the CRS, and no first line supervisors were denied access to the CRS. (Exhibit 3)

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REPORT OF INVESTIGATION

EXHIBITS
[Unclassified Titles]

<u>NUMBER</u>	<u>DESCRIPTION</u>
1.	Memorandum of Activity, memorandum from the Office of Special Counsel, forwarded through DHS Secretary Michael Chertoff's office, dated April 28, 2005.
2.	Memorandum of Activity, Interview of Catherine McMullen, dated April 28, 2005.
3.	Memorandum of Activity, Interview of [SSI] dated May 9, 2005.
4.	Memorandum of Activity, Interview of [SSI] dated May 17, 2005.
5.	Memorandum of Activity, Interviews of [SSI] and [b7C] Records Reviews - Performance Appraisal, dated May 9, 2005. b7
6.	Memorandum of Activity, Interview of [SSI] Records Review - SAC awards, dated May 3, 2005.

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REPORT OF INVESTIGATION

CLASSIFIED DOCUMENT LIST

<i>Security Classification</i>	<i>Document Description</i>	<i>DHS OIG OI Classified Control Number</i>	<i>Document Location</i>
S/NF	FY2005 Federal Air Marshal Service (FAMS) Staffing and Flight Coverage	OIG-INV05-01	Exhibit 3
S/NF	Memorandum of Activity, Interview of SSJ dated May 9, 2005	OIG-INV05-02	Exhibit 3

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Exhibit 1



Homeland Security

MEMORANDUM OF ACTIVITY

Type of Activity: Complaint

Case Number: I05-BICE-SID-09277S	Case Title: Office of Special Counsel - FAMS
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On April 28, 2005, the Department of Homeland Security (DHS), Office of Inspector General (OIG), received a referral from DHS Secretary Michael Chertoff involving allegations by a whistleblower (WB), a current Federal Air Marshal (FAM) who requested anonymity. The report to the Secretary was generated by Scott J. Bloch, Special Counsel, Office of Special Counsel (OSC), 1730 M Street, N.W., Suite 300, Washington, DC, titled OSC File No. DI-05-1173, dated April 20, 2005, alleging that the Federal Air Marshal Service (FAMS) falsely inflated the number of flights covered by FAMS in a December 2004 internal report and subsequently reported the misrepresented statistics to Congress. (attached)

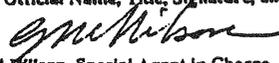
The WB reported to the OSC that, in December 2004, he/she reviewed a report that was generated by the FAMS computer system, using the "Crystal Reports" software. The WB alleged that the report listed SSJ flights that were actually covered by the FAMS. According to the WB, current staffing levels and existing operating procedures would make it impossible for FAMS to cover the number of flights represented in the report that was reviewed. The WB contends that the statistics in the report were skewed because each trip taken by an individual FAM was counted as coverage for a separate flight, SSJ

The WB alleged that when the aforementioned overstatement was brought to the attention of FAMS management, first-line supervisor's access to the Crystal Reports system was removed. The WB reported that first-line supervisors relied on the data from the Crystal Reports system to oversee the activities of subordinates (i.e., meet and/or monitor FAMS for compliance to agency policy), and to coordinate with local law enforcement in case of an in-flight disturbance.

The WB alleged that the FAMS management used statistics collected by the Crystal Report system to determine awards to Special Agents in Charge (SAC), who oversee the operations of the FAMS on a regional level. The WB alleged that bonuses for SACs are dependent on the number of flights covered in their regions; therefore, inflated flight numbers resulted in higher bonuses.

Finally, the WB alleged that the inflated statistics in the FAMS reports were provided to Congress to make it appear that the agency met congressionally mandated staffing levels. The WB contends that the number of flights in the December 2004 report would be correct if the FAMS were staffed at the level mandated by Congress.

b7c

5 USC § 552(b)(7)(C) <small>senior special agents</small>	5/6/05	Reviewing Official Name, Title, Signature, and Date:  5/11/05 G. Michael Wilson, Special Agent in Charge
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Homeland Security

MEMORANDUM FOR: Richard Skinner
Acting Inspector General

FROM: Michael Chertoff *(e)*

SUBJECT: Office of Special Counsel Referral Regarding OSC File
No. DI-05-1173

Attached please find the Office of Special Counsel (OSC) referral regarding OSC File No. DI-05-1173. I hereby refer this matter to you to investigate and prepare the report required by 5 U.S.C. § 1213 for my review and signature. Please note the time limitations for complying with the OSC's referral and ensure that I have the report back from your office with sufficient time to review and transmit.

Exhibit 2



Homeland
Security

MEMORANDUM OF ACTIVITY

Type of Activity: Telephone Contact

Case Number: I05-BICE-SID-09277S	Case Title: Office of Special Counsel - FAMS
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On April 28, 2005, the Department of Homeland Security (DHS), Office of Inspector General (OIG), contacted Catherine McMullen, Chief, Disclosure Unit, Office of Special Counsel (OSC), 1730 M Street, N.W., Suite 300, Washington, DC, (b2), concerning OSC File No. DI-05-1173, dated April 20, 2005, involving allegations by a whistleblower (WB), a current Federal Air Marshal (FAM) who requested anonymity. McMullen is the listed contact person for any additional information needed from the OSC.

On April 29, 2005, the DHS OIG contacted McMullen and requested any additional information from the WB, to include their identity, to assist in this investigation. McMullen stated that the OSC is prohibited from disclosing the WB's identity and the OSC had submitted the complete case file to the DHS OIG.

On May 2, 2005, the DHS OIG contacted McMullen and requested that the WB be contacted and given the opportunity to contact the DHS OIG to further assist in his/her complaint against the FAMS. McMullen agreed to contact the WB.

On May 3, 2005, McMullen contact the DHS OIG and stated that the WB refused to contact the DHS OIG to provide any additional assistance in his/her complaint against the FAMS.

b7c

Name, Title, Signature, and Date: SUSCO SSA(b)(7)(c) 5/3/05	Reviewing Official Name, Title, Signature, and Date: G. Michael Wilson, Special Agent in Charge 5/12/05
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Exhibit 3

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Homeland Security

MEMORANDUM OF ACTIVITY

Type of Activity: Personal Interview / Records Review

Case Number: I05-BICE-SID-092775	Case Title: Office of Special Counsel - FAMS
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(U/FOUO) On May 9, 2005, [SSA] System Operation Control Division (SOC), Missions Operations Section (MOS), Federal Air Marshal Service (FAMS), U.S. Immigration and Customs Enforcement (ICE), [SSA] was interviewed by Senior Special Agent (SSA) [b7c] Department of Homeland Security (DHS), Office of Inspector General (OIG), pursuant to a DHS OIG investigation of allegations by a whistleblower (WB), that the FAMS falsely inflated the number of flights covered by Federal Air Marshals (FAMs) in a December 2004 internal report. Allegedly, the inflated flight statistics were included in a quarterly report to Congress, which misleadingly suggested that the FAMS had fulfilled mandated staffing requirements. According to the allegation, the inflated flight statistics also resulted in unwarranted bonuses awarded to SACs based on inaccurate FAMs flight coverage totals. Upon learning that the inflated statistics were derived from an internal database, FAMS Headquarters allegedly denied all first line supervisors access to the data-source. [SSA] is in charge of the database that tracks the FAMS' statistics. Also [b7] present during the interview was [5 USC § 552(b)(7)(C)] who oversees the extraction of statistics from the database.

[Agent's Note: The classification acronyms are as follows: U-Unclassified; FOUO-For Official Use Only; LES-Law Enforcement Sensitive; SSI-Sensitive Security Information; S/NF-Secret No Foreign Dissemination.]

(U/FOUO/LES) [SSA] stated that the FAMS utilize one primary database called [Sabre]. This database was derived from an American Airlines system used to schedule pilots and flight crews, and was subsequently modified to accommodate the flight scheduling of FAMs. [SSA] explained that access to the database, via the Sabre system, requires a user name and password, and is limited to approximately five FAMS employees (e.g., programmers, Information

Classification Derived from:	Federal Air Marshal Service Sabre Air Crew database.
Declassify on:	Source document titled "FY 2005 Federal Air Marshal Service (FAMS) Staffing and Flight Coverage," dated to declassify 10/18/2014.

Name, Title, Signature, and Date: [b7] [5 USC § 552(b)(7)(C)] [Signature] 6/2/05	Reviewing Official Name, Title, Signature, and Date: [Signature] 6/5/05 G. Michael Wilson, Special Agent in Charge
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IMPORTANT NOTICE
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~~SECRET/NF~~

26
~~SECRET/NF~~

SECRET/NF

MEMORANDUM OF ACTIVITY

5 USC § 552 (b) (7) (C)

b7

Technology personnel, [SSI] and [b7C] since it allows for the inputting of data. [Wright] explained that all statistics that are ultimately presented to Congress are derived from the database via the Sabre access.

(U/FOUO/LES) [SSI] stated that the Sabre database is also accessible via the Crystal Reports System (CRS), which is available in each of the 21 FAMS Field Offices, Headquarters and Mission Operations. [SSI] explained that the CRS is a generic database reporting system, which runs pre-designed reports through the Sabre database and is used for data retrieval only (no input capability). Access to the CRS requires a user name and password. [SSI] stated that there is no formalized training to use the CRS; however, there is a user's guide at the startup of the program that explains what information is required to retrieve data. The user's guide also states what data is available on specific screens, and each screen explains what information is being displayed. (attached) The CRS has two modes of access:

- Regular (access for 300 plus users): Designed for use by Field Office Operations Divisions and SACs, to have information readily available in case of a crisis, or to accommodate a FAMS' schedule change. The CRS permits users to access information about flights that FAMS are currently traveling on, cities that FAMS are remaining overnight in, and specific airports that FAMS are transiting through. (copy of screen menu attached)
- Management (access for approximately nine upper management users in Headquarters and the MOS): Used to determine the number of missions and hours flown for quality control at the SOCD and also provides trend analysis of specific Field Office flight statistics. This system also maintains statistics for HQ management to determine awards given to FAMS for most missions and hours flown. [Agent's Note: This information is not available to field office supervisors so that awarding criteria cannot be manipulated at that level.] (copy of screen menu attached)

(U/FOUO/SSI) [SSI] demonstrated the Regular CRS by accessing "Actual Flights Flown" data, and retrieving that specific report. [SSI] accessed the data for "12/12/04." [Agent's Note: [SSI] chose this date, due to a current investigation by the ICE Office of Professional Responsibility (OPR), Joint Intake Center (JIC), case number 200503115, involving [SSI] [SSI] derived from the Regular CRS, [SSI] The OPR report pertained [SSI] and did not verify if the statistics were accurate (i.e., inflated).] (attached) [SSI] interpreted the details of the document as follows:

Federal Air Marshal Service
Actual Flights - Domestic
12/12/04 - 12/12/04 (flights in one day)
Total number of Published Flights: [SSI]

SECRET/NF

MEMORANDUM OF ACTIVITY

[Agent's Note: This document states under Report Description: "Listing of Federal Air Marshals Actual flights, during the period 12/12/04 to 12/12/04 Eastern Time" (i.e., individual FAMS traveling).] (attached)

(U/FOUO/LES) [SSJ] stated that the phrase "[SSJ]" is a software term; the correct FAMS term is "[SSJ]". In addition, [SSJ] stated that the software calculates "[SSJ]".

[SSJ]
[Agent's Note: The WB alleged that "...he/she has never heard the term [SSJ]".

[SSJ] The WB also alleged "...FAMS in December 2004 misrepresented the number of flights covered by FAMS, reporting that Federal Air Marshals flew on [SSJ] flights as actually covered by the agency." Based on [SSJ] explanation of data retrieved on 12/12/04, it appears that the WB misinterpreted the data derived from the CRS.]

(U/FOUO/LES) At the request of the DHS OIG, [SSJ] queried the Regular CRS "Actual Flights - Domestic" for the number of Published Flights for the first quarter of FY 2005:

Federal Air Marshal Service
Actual Flights - Domestic
10/1/04 - 12/31/04 (FY 2005 first quarter)

Total Number of Published Flights: [SSJ]

[Agent's Note: This document states under Report Description: "Listing of Federal Air Marshals Actual flights, during the period 10/1/04 to 12/31/04 Eastern Time" (i.e., individual FAMS traveling).] (attached)

b7 (U/FOUO/LES) [SSJ] then produced a document compiled by [b7c] of all data, based on actual flights flown, derived from the database using the Sabre access. (attached) [Agent's Note: Data derived from the Sabre access is calculated using the FAMS terminology (i.e., "[SSJ]").] [SSJ] stated that [b7c] compiles the quarterly statistics in the form of a spreadsheet.

The Total Missions (FAMS terminology for teams of FAMS) for the first quarter of FY 2005 was [SSJ].

[SSJ]

5 USC § 552 (b)(1) and Exec. Order No. 12953, as amended

5 USC § 552 (b)(1) and
Exec. Order No. 12953, as
amended

(U/FOUO) [SSJ] explained that, after the March 2005, Washington Times article, FAMS Headquarters queried [SSJ] for the total number of employees who have access to the CRS.

[SSJ] discovered that the CRS had over 300 listed users. [SSJ]

[SSJ], Field Operations, FAMS, [SSJ] directed [SSJ] to evaluate the access to the Crystal Report System. [SSJ] stated that he contacted the SACs of the 21 Field Offices and requested the names of non-supervisory employees who do not require access to the Regular CRS. [SSJ] explained that office supervisors and FAMS employees assigned to the operations desk at the Field Office are the only employees who should have access to the Regular CRS. [SSJ] stated that the list of users is constantly changing for Regular CRS because FAMS are continuously reassigned in and out of the field office operations sections. [SSJ] stated that he discontinued access to the Regular CRS for approximately 30 FAMS (based on the SAC response to the access control survey). [SSJ] added that he honors all requests by supervisors (J band or higher) to grant access to Regular CRS, and no first line supervisors were denied access to Regular CRS. [Agent's Note: The WB alleged that, "When the overstatement discovered by the WB, among others, was brought to the attention of FAMS Headquarters, management reacted by depriving first-line supervisors access to the Crystal Reports system." [SSJ] statement refutes the WB's allegation.]

Attachments

Security Classification	Document Description	DHS OIG OI Classified Control Number
U/FOUO/LES	Document - % of FAM Coverage: April 2004 to April 2005	N/A
S/NF	FY2005 Federal Air Marshal Service (FAMS) Staffing and Flight Coverage	OIG-INV05-01



Federal Air Marshal Service

FAMS Reporting System Web Interface Guide

Version 5.1
March 28, 2005

Prepared by:
Richard Blummer

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**LAW ENFORCEMENT
SENSITIVE**

Point your web browser to <http://reports>

FEDERAL AIR MARSHAL CRYSTAL REPORTS

Welcome to our new look!

A description of the report will appear here when you hover your cursor over a report link.

FAMS through airport (4)

- Counts Through
- By Arrival Time
- Airport by Name
- Specific Airport

FAMS on Standby (2)

- On Standby Duty
- Specific Base

FAMS Sick Leave (2)

- Sick leave Summary
- Specific Base

Base Personnel (2)

Other (2)

- FAM Duties
- Specific FAM Contact Information

RON Summary (2)

- Specific Airport
- Specific Base

Flights (3)

- Mission Flights Flown
- Scheduled Flights for a Date
- Find by Flight Number

Last Updated: 03.20.2005

ALL REPORTS have been added to show the FAM's rank. This information appears as RANK #staffed, where RANK is FAM, HQ-2, SOC, or MET. Also, if you right-click on **SST** information other than the Method might be part of a 0 (Domestic or International) online.

How Report

Updated Report

Airport Abbreviations

FAA Airport Condition Status

Report Instructions

A description of the report will appear here when you hover your cursor over a report link.

SST

General information about updates to the Crystal Reports site appear here.

A link to an external Airport Lookup database, where you can find airport codes by location, and reverse search for airport locations by airport code.

A link to [ATCSCC Real-time Airport Status](#).

A link to this document.

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When you click on the report you wish to generate, you will go to a Parameters page.

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Some reports allow you to select specific Bases or Airports for you to view.

If the Airport you wish to report on is not in the drop-down list, simply type the Airport code in the box next to the dropdown list.

Most reports will require a date range selection.

LAW ENFORCEMENT SENSITIVE

Depending on the report you have selected to view, it may take a few moments for the report to appear on the screen.

Crystal Reports Viewer - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Home

Address http://report-viewer-application-files-crystal.famservice.com

Crystal Reports Viewer - Microsoft Internet Explorer

Crystal Reports Viewer - Microsoft Internet Explorer

1/30/2005
1/31/2005

 Federal Air Marshal Service
Reports

FAMs Traveling through BOS – All Flights
1/30/2005 - 1/31/2005 *

Printed Date: 1/31/2005 List Modified: 1/31/2005

Report Description

Listing of Federal Air Marshals scheduled to pass through BOS during the period 1/30/2005 to 1/31/2005, in
Departure or Arrival Time Order.
FAMS for whom BOS is their home base are underlined.

SENSITIVE SECURITY INFORMATION

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this document may be released without the express permission of the Director of Homeland Security, Washington, DC 20505.
Unauthorized release may result in a 5-year penalty or other action. For U.S. government agencies,
Public availability is to be determined under 5 U.S.C. 552

Total active FAMs through BOS:

Details:

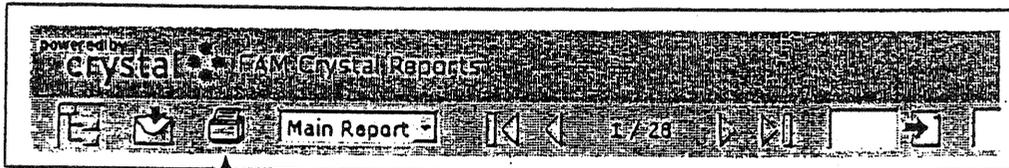
1/30/05

Local intranet

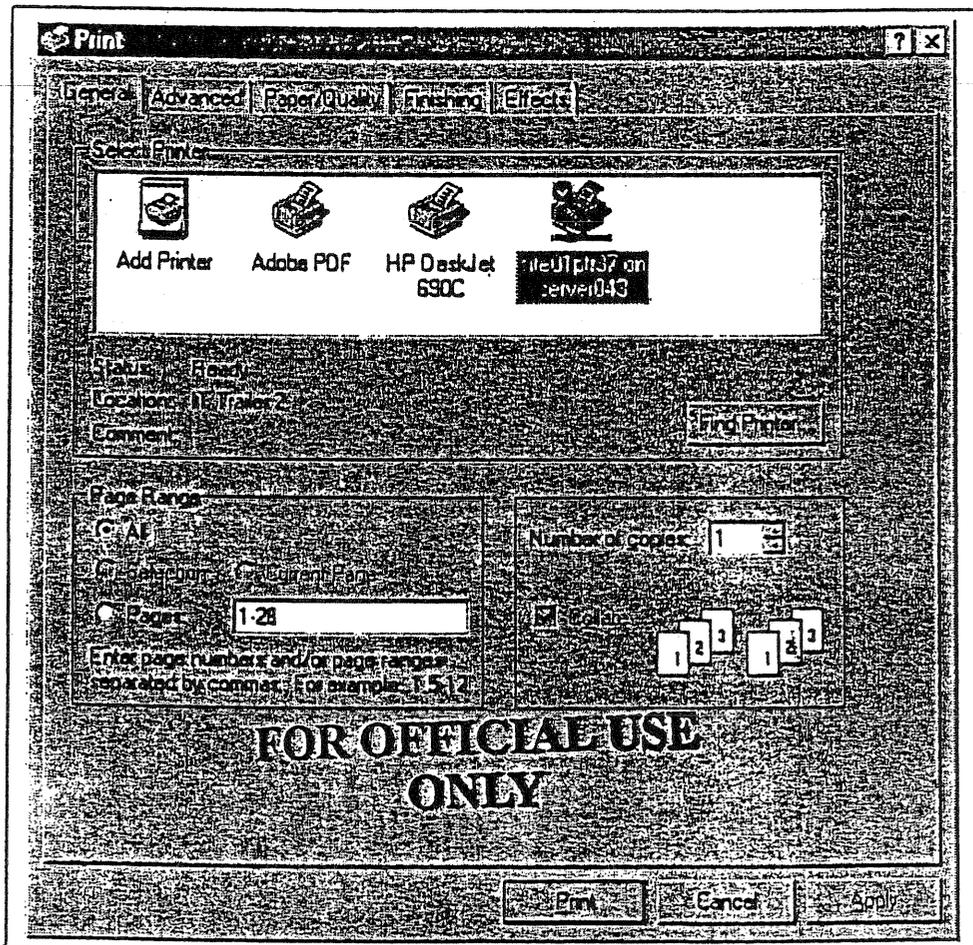
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**LAW ENFORCEMENT
SENSITIVE**

To print your report, use the printer icon in the Crystal Reports toolbar at the top of the report page.



This will bring up Windows' printer dialog, where you can select printer, pages to print, etc.



**LAW ENFORCEMENT
SENSITIVE**

Available Reports:
 Main Page:

Actual Flights Flown Summary	Listing of Federal Air Marshals Actual flights, during the specified period. Grouped by home Base, sorted by Local Arrival.
All Scheduled Flights for a Date	Listing of Federal Air Marshals Scheduled flights, during the specified period. Sorted by Eastern Departure Time.
Complete <u>SSJ</u> Through Specific Airport - Date/Time Range	Listing of complete <u>SSJ</u> for Federal Air Marshal flights scheduled to pass through selected airport during the Date/Time period specified.
FAM Counts Through Airports	Count of Federal Air Marshals scheduled to travel through any and all airports, during the specified period. Based on Scheduled Arrivals.
FAM Duties	Listing of Duties for Federal Air Marshals during the specified period, based in selected base, based on Roster dates. Because Roster dates can span multiple dates, the individual segment duties listed may be from before or after those chosen in your report selection criteria. Also, a FAM can have more than one Duty in the course of a day.
FAM <u>SSJ</u> By Base	<u>SSJ</u> of FAMS flying from selected Base, during the specified period. Records include <u>SSJ</u> FAM's name and ID. Based on published rosters.
FAMs From Specific Base	Listing of flights for Federal Air Marshals from selected Base, during the specified period. In alphabetical order by last name. Flight time totals are calculated on Departure to Arrival times.
FAMs on Standby - Specific Base	Listing of Federal Air Marshals who are on Standby Duty during the specified period, selected by Base, in Standby Duty Start Time order.

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FAMs on Standby Duty	Listing of Federal Air Marshals who are on Standby Duty during the specified period, by Airport, in Standby Duty Start Time order.
FAMs Sick Leave by Base	Listing of Federal Air Marshals with a Duty Code of SKL, SICK, SK2, TRM, or PSL during the specified period, selected by Base.
FAMs Sick Leave Summary	Summarized listing of Federal Air Marshals with a Duty Code of SKL, SICK, SK2, TRM, or PSL during the specified period, grouped by Base and leave type.
FAMs Through Airport By Arrival Time	Listing of Federal Air Marshals scheduled to arrive and/or depart selected Airport during the specified period. In Departure / Arrival Order.
FAMs Through Airport By Name	Listing of Federal Air Marshals scheduled to arrive and/or depart selected Airport during the specified period. In alphabetical order by last name.
FAMs Through Specific Airport	Listing of Federal Air Marshals scheduled to pass through selected Airport during the specified period, in Departure or Arrival Time Order. FAMs for whom the selected Airport is their home base are underlined.
Find By Flight Number	Listing of Federal Air Marshals scheduled for a selected Airline and Flight Number, for the selected dates. If no FAMs have been scheduled for the selected flight(s), there will be no listing.
RON Summary - Specific Airport	Counts of FAMs requiring overnight stays due to layovers at a selected Airport during the specified period.
RON Summary - from Specific Base	Counts of FAMs from selected Base, requiring overnight stays due to layovers during the specified period.

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RON Summary - Overall	Summarized listing of all RONs, selectable by various criteria.
RON Summary - by Base	Summarized listing of all RONs, selectable by various criteria, grouped by home Base.
Specific FAM Contact Info	This report summarizes contact information for selected FAM.

International Reports:

SSI International Airports Summary	This report summarizes FAM coverage SSI International SSI based on actual flights flown. SSI SSI
SSI International Airports Summary	This report summarizes FAM coverage for a specified period To and From SSI based on actual flights flown.
SSI Summary	This report summarizes FAM coverage for a specified period SSI SSI based on actual flights flown.
International by Airline	This report summarizes FAM coverage for a specified period for International Flights Coverage by Airline.
International by Airport	This report summarizes FAM coverage for a specified period for International Flights Coverage by Airport.
International by Region	This report summarizes FAM coverage for a specified period for International Flights Coverage by Region.
International SSI by Flight Number	Listing of Federal Air Marshals International Pairings, for a specified period. Sorted by Airline/Flight Number. Available Spreadsheet format.

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Medical Reports:

Average Flight Time - Greater than 100 hours	Listing of Average Monthly Flight Time for FAMs, during the specified period. Grouped by home Base, Month. Shows only FAMs who flew more than 100 Hours during the Month.
Average Flight Time - Greater than X hours	Listing of Average Monthly Flight Time for FAMs, during the specified period. Grouped by home Base, Month. The user selects the baseline number of Hours.
FAM - No flying hours in a period	FAMs on Active Duty who flew NO flights in the specified period.
FAMs sick leave summary	Summary, by Base, of FAMs on Sick Leave.

Management Reports:

Daily User Changes Counts - FTO	This report summarizes the counts of changes in Aircrews where the User ID is a listed user. This report shows changes by FTO users.
Daily User Changes Counts - MOC	This report summarizes the counts of changes in Aircrews where the User ID is a listed user. This report shows changes by MOC users.
FAM Flights and Flight Hours - Flight Count Order - Base Group	Summary of Number of Flights, total Flight Times, and Days on Duty for FAMs; grouped by Base, sorted descending by Flight Count.
FAM Flights and Flight Hours - Flight Count Order - Overall Group	Summary of Number of Flights, total Flight Times, and Days on Duty for All FAMs, sorted descending by Flight Count.
FAM Flights and Flight Hours - Flight Count Order - Specific Group	Summary of Number of Flights, total Flight Times, and Days on Duty for FAMs based in selected Base, sorted descending by Flight Count.

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FAM Flights and Flight Hours - Flight Hours Order - Base Group	Summary of Number of Flights, total Flight Times, and Days on Duty for FAMS; grouped by Base, sorted descending by Flight Hours.
FAM Flights and Flight Hours - Flight Hours Order - Overall Group	Summary of Number of Flights, total Flight Times, and Days on Duty for All FAMS, sorted descending by Flight Hours.
FAM Flights and Flight Hours - Flight Hours Order - Specific Group	Summary of Number of Flights, total Flight Times, and Days on Duty for FAMS based in selected Base, sorted descending by Flight Hours.
Flying Days by Field Office	This report summarizes flying days per Field Office for the selected date range.
OAG Filtered Flights	Listing of OAG filtered flights from a specified airport to a specified airport for the selected date, and related FAM schedules.

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SENSITIVE**

FEDERAL AIR MARSHAL CRYSTAL REPORTS

Welcome to our new look!

A description of the report will appear here when you hover your cursor over a report link.

Last Update:
05.07.2005

Changed FAMs Through Airport - Specific Airport to include Airline selection. Added RON Summary - by Base and RON Summary - Overall reports.

- New Report
- Updated Report

Airport Abbreviations

FAA Airport Conditions Status

Report Instructions

FAMs through airport (4)

- Counts Through
- By Arrival Time
- Airport by Name
- Specific Airport

FAMs Sick Leave (2)

- Sick leave Summary
- Specific Base

Base Personnel (2)

■ SSI

Incident / Weather (1)

■ SSI SSI

Specific Airport - Date Time Range

FAMs on Standby (2)

- On Standby Duty
- Specific Base

RON Summary (4)

- Specific Airport
- Specific Base
- by Base
- Overall

Flights (3)

- Actual Flights Flown
- Scheduled Flights for a Date
- Find by Flight Number

Other (2)

- FAM Duties
- Specific FAM Contact Information

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LAW ENFORCEMENT SENSITIVE

1450 1012

FEDERAL AIR MARSHAL CRYSTAL REPORTS MANAGEMENT

**Welcome to our
new look!**

A description of
the report will
appear here when
you hover your
cursor over a
report link.

**Last Update:
3.21.2005**

The Daily User
Changes Count
report has been
renamed to Daily
User Changes
Count - FTO. A
new report for
Daily User
Changes Count-
MOC has been
added.

-
- New Report
 - Updated Report
-

Airport
Abbreviations

FAA Airport
Conditions Status

Report
Instructions

Flights and Flight Hours - Base Group (2)

- Count
Order
- Hours
Order

Flights and Flight Hours - Specific Base (2)

- Count
Order
- Hours
Order

Flights and Flight Hours - Overall Group (2)

- Count Order
- Hours Order

Other (4)

- OAG Filtered
Flights
- Flying Days
by Field
Office
- Daily User
Changes
Count - FTO
- Daily User
Changes
Count - MOC

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The Washington Times

www.washingtontimes.com

Air marshals' coverage said inflated

By Audrey Hudson

THE WASHINGTON TIMES

Published March 10, 2005

A former Transportation Department inspector general says the Federal Air Marshals Service apparently is inflating the number of flights it protects while reducing the number of flying officers, repeating failures that left only 33 marshals employed on September 11.

Mary Schiavo, who headed the investigative office from 1990 to 1996, said the previous operator of FAMS, the Federal Aviation Administration, began slashing the number of marshals in the 1980s and "robbed" the funding for general budget items.

"This is more of the same: They are betting that under the sensitive secure information guidelines, no one would ever find out because they made it all secret," said Ms. Schiavo, who resigned from the FAA after blowing the whistle on lax airport and airplane security.

In the 1990s, FAA officials steadily reduced the ranks of air marshals, maintaining the "impression" of security was the main deterrent to terrorists, and used the money for other things, she said in an interview with The Washington Times.

"They said, 'Look, people don't know how many [marshals] there are.' It's the appearance, the impression that matters. The government's opinion was, it's OK to lie about it."

The number of air marshals and which flights they protect is classified as "sensitive security information," but unclassified reports obtained by The Washington Times indicate that currently fewer than 10 percent of flights have armed agents aboard. And several marshals say that number is inflated to dupe Congress into believing its mandates for protecting commercial air travel have been met.

"This was supposed to change after September 11, but it doesn't look like it has. It's like September 11 never happened," said Ms. Schiavo, who is now a lawyer with the South Carolina firm of Motley Rice. She represents passengers and crews involved in air crashes, including some victims of the September 11 attacks.

The air marshal ranks swelled to nearly 4,000 after the September 11 attacks, but based on the number of guns issued, several marshals estimate only 2,200 marshals are available to protect 30,800 daily domestic and international flights.

FAMS spokesman Dave Adams said Congress approved another \$50 million this year for new hires and some promotions have been made, and that they expect more hires in the next few months.

"Both the Congress and Homeland [Security] Department know our figures and percentage of flights that we're on, and we're not manipulating our figures at all," Mr. Adams said.

"We have not been under the Transportation Department in several years, so [Ms. Schiavo's] knowledge does not really reflect the present-day FAMS program."

Ms. Schiavo's views on the safety of ValueJet before a crash in July 1996 led to some congressional criticism and demands to review her records. After resigning, she wrote a book on airport safety titled "Flying Blind, Flying Safe."



Federal Air Marshal Service

Actual Flights - Domestic 12/12/04 - 12/12/04 *

Printed Date: 5/12/2005 Last modified: 5/12/2005

Report Description:

Listing of Federal Air Marshals Actual flights, during the period 12/12/04 to 12/12/04 Eastern Time. Grouped by home Base, sorted by Local Arrival.

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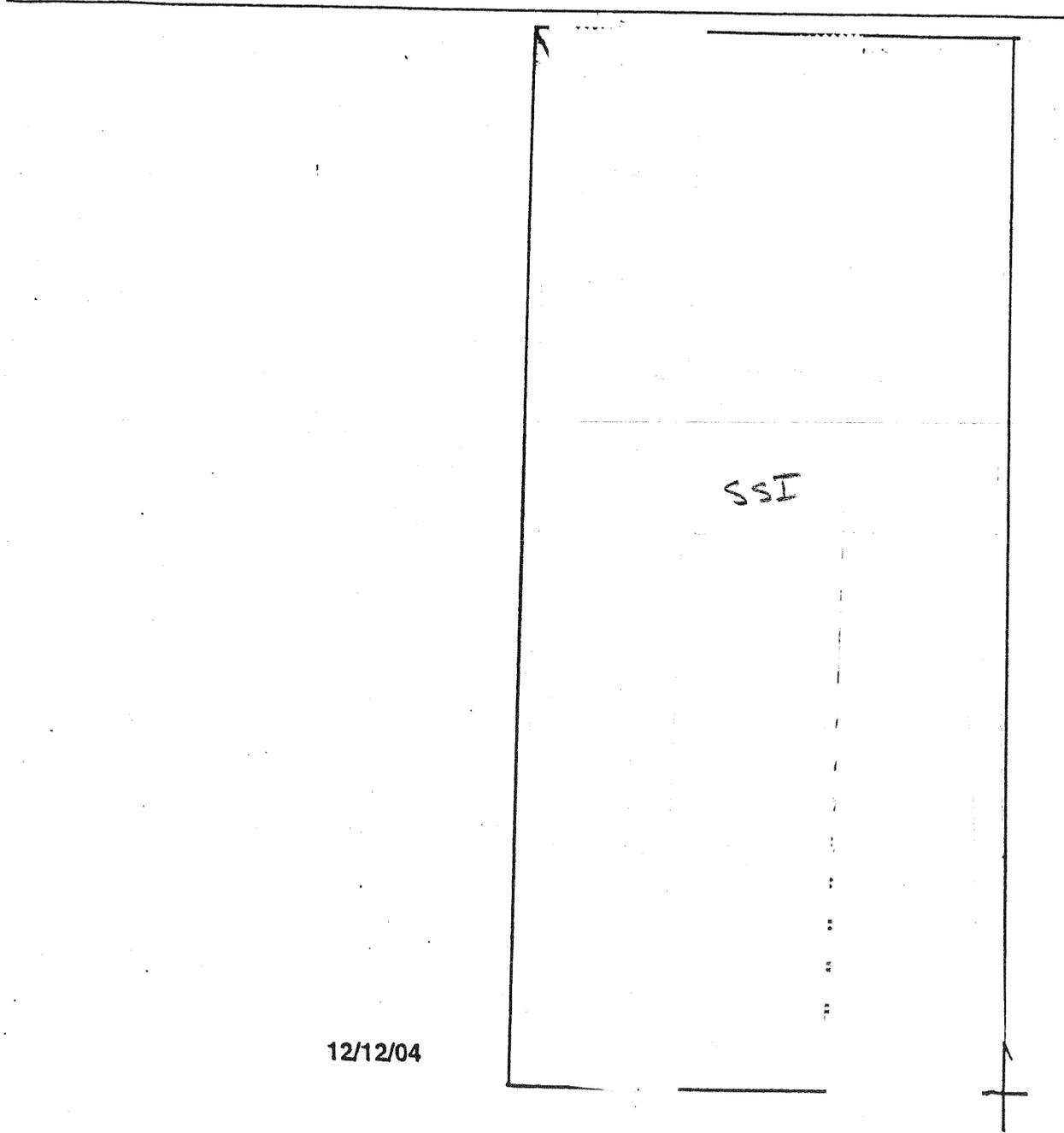
Total Number of Published Flights: **SSI**

Details:

powered by **crystal** FAM Crystal Reports

Navigation icons: envelope, printer, dropdown menu (Main Report), left arrow, 2 / 2, right arrow, double right arrow, refresh, zoom in, zoom out, 100% dropdown.

Printed Date: 5/12/2005 Last modified: 5/12/2005



**SENSITIVE SECURITY
INFORMATION**

Navigation icons: Print, Refresh, Filter, Previous, 1/1, Next, Home, Search, 100%

	Base	Flight	VD	Depart	Ar
FAM #15330	SAN	[REDACTED]			
FAM #16712	SAN	[REDACTED]			
FAM #18182	SAN	[REDACTED]			
FAM #3124	SAN	[REDACTED]			
FAM #15330	SAN	[REDACTED]			
FAM #16712	SAN	[REDACTED]			
FAM #13467	SAN	[REDACTED]			
FAM #9160	SAN	[REDACTED]			
FAM #16351	SAN	[REDACTED]			
FAM #2430	SAN	[REDACTED]			
FAM #2286	SAN	[REDACTED]			
FAM #15330	SAN	[REDACTED]			
FAM #16712	SAN	[REDACTED]			
FAM #14452	SAN	[REDACTED]			
FAM #20438	SAN	[REDACTED]			
FAM #21184	SAN	[REDACTED]			
FAM #2221	SAN	[REDACTED]			
FAM #13467	SAN	[REDACTED]			
FAM #9160	SAN	[REDACTED]			
FAM #2286	SAN	[REDACTED]			
FAM #14452	SAN	[REDACTED]			
FAM #20438	SAN	[REDACTED]			

SSF

**SENSITIVE SECURITY
INFORMATION**



Federal Air Marshal Service

Actual Flights - Domestic 10/1/04 - 12/31/04 *

Printed Date: 5/17/2005 Last modified: 5/17/2005

Report Description:

Listing of Federal Air Marshals Actual flights, during the period 10/1/04 to 12/31/04 Eastern Time.
Grouped by home Base, sorted by Local Arrival.

SENSITIVE SECURITY INFORMATION

This document contains sensitive security information that is controlled under the provisions of 49 CFR 1520. No part of this document may be released without the written permission of the Division of Homeland Security, Washington, DC 20590. Unauthorized release may result in civil penalty or other action. For U.S. government agencies Public availability is to be determined under 5 U.S.C. 552.

Total Number of Published Flights: SSI

Details:

46

% of FAM Coverage: April 2004 to April 2005

[ALL Cities]

All Data Based on Actual Flights Flown

Month	1st Cut Critical Flights[1]	Total Missions[2]	Total Missions %	1st Cut SSI more Critical Flights	Total Missions	1st Cut 180PAX or more %	2nd Cut Targeted Critical Flights[4]	Total Targeted Critical Missions[5]	Total Targeted Critical Missions %	Total Flights (OAG)[3]
April-04										
May-04										
June-04										
July-04										
August-04										
September-04										
October-04										
November-04										
December-04										
January-05										
February 05										
March-05										
April-05										

SSI

[2] Any 1st or 2nd Cut Filtered Flight SSI

[3] Official Airline Guide (OAG).

[4] 2nd Cut Targeted Critical Flights have been designated for coverage based on SSI

[5] Any 2nd Cut Targeted Critical Flight SSI

SSI

SENSITIVE SECURITY INFORMATION

SECRET NOFORN

5 USC § 552 (b)(1) and
Exec. Order No. 12953, as
amended

Classified by: Assistant Secretary, Immigration & Customs Enforcement

Reason: 1.5 (f)

Declassify 10/18/2014

SECRET NOFORN

Exhibit 4



Homeland Security

MEMORANDUM OF ACTIVITY

Type of Activity: Records Review

Case Number: I05-BICE-SID-09277S	Case Title: Office of Special Counsel - FAMS
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On May 17, 2005, [redacted] SSI Congressional Affairs, Federal Air Marshals Service (FAMS), U.S. Immigration and Customs Enforcement (ICE), [redacted] SSI [redacted] SSI, was interviewed by Senior Special Agent (SSA) [redacted] b7c Department of Homeland Security (DHS), Office of Inspector General (OIG), pursuant to a DHS OIG investigation of allegations by a whistleblower (WB), a current Federal Air Marshal (FAM) who requested anonymity, that the FAMS falsely inflated the number of flights covered by the FAMS in a December 2004 internal report. According to the allegation, the report provided: misleading information to Congress (i.e., inflated staffing numbers); unwarranted bonuses for SACs; and caused access to be ceased (for mid-level FAMS management) to the internal computer system that tracks FAMS statistics. [redacted] SSI is the liaison between the FAMS and Congress.

[redacted] SSI stated that Congress does not mandate the staffing requirements of the FAMS. [redacted] SSI explained that in a November 14, 2001, memorandum, then Deputy Secretary of Transportation, Michael P. Jackson, directed that the FAMS train [redacted] SSI FAMS by July 1, 2002, and provided specific guidelines for the utilization of the FAMS in the field. [redacted] SSI explained that the FAMS are not mandated nor do they have an "authorized strength," for staffing; therefore, the 2001 memorandum is the only guideline available for the FAMS to address staffing. (attached)

[redacted] SSI stated that as a result of the 2005 Appropriations Bill, the FAMS began quarterly reporting of staffing status and flight coverage to Congress (Fiscal Year 2005). [redacted] SSI explained that the FAMS Office of Administration (personnel statistics) and the Mission Operations Section (MOS) (flight statistics) supply the information provided in this quarterly report. [redacted] SSI provides the compiled statistics to Shelly Han, Chief of Staff, ICE, 425 I Street, Washington, DC, who then forwards the information to the ICE Office of Security to be classified, "SECRET NOFORN" (i.e., no foreign dissemination). [redacted] SSI explained that Border and Transportation Security (BTS), Department of Homeland Security (DHS), and the Office of Personnel Management (OPM) review the document before it is presented to Congress. [Agent's Note: This classified document is detailed and a copy is attached to Memorandum of Activity dated May 9, 2005.]

b7c	5 USC § 552(b)(7)(C)	5/23/05	Reviewing Official Name, Title, Signature, and Date:
			St. Michael Wilson, Special Agent in Charge 5/23/05

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The Deputy Secretary of Transportation
U.S. DEPARTMENT OF TRANSPORTATION
400 Seventh Street, S.W., Room 10200
WASHINGTON, D.C. 20590

November 14, 2001

TO: ADMIRAL STEVE ABBOT
DEPUTY DIRECTOR, OFFICE OF HOMELAND SECURITY

FROM: MICHAEL F. JACKSON *MJ*

SUBJECT: AVIATION SECURITY ISSUES

This memorandum is meant to highlight four important sub-issues of Aviation Security and facilitate their discussion: Federal Air Marshals; Explosive Detection Systems; Foreign Flag Air Carriers; and System of Systems.

Federal Air Marshal Program

We expect to have a trained Federal Air Marshal (FAM) force of SS1 by July 1, 2002. If a mid-year assessment deems it necessary, we will be prepared to train an additional SS1. The full year FY2004 cost for SS1 FAMs is approximately \$1.5B. It is not yet clear whether the pending Aviation Security legislation will include base fee funding for the FAM program.

There are over 30,000 flights a day, which would require over SS1 FAMs if every flight were covered.

SS1

Training SS1 FAMs by July, 2002 is a major task and one that will require the full focus of DOT as well as assistance by other agencies. A preliminary analysis indicates that there are sufficient candidates. Additional training resources would be required and we expect that those needs will be met with outside contractors. We will assess our facility requirements and work with Treasury, Defense, and others to cover that need.

It is likely that Congress will charge DOT with additional aviation security duties, which will include several thousand Law Enforcement Officers (LEOs) beyond those required for the FAM program. Should that occur, DOT would create a class of LEO called "Transportation Security Agent" that would have flexibility to support missions beyond strictly airport security. We would, to the extent consistent with the FAM mission, seek

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to combine LEO populations to allow greater career opportunities for the LEOs, as well as greater mission flexibility for the Department.

Explosive Detection Systems and Passenger Bag Match

Two manufacturers of Explosive Detection Systems (EDS) are certified by the FAA: InVision and L3. Over 250 InVision systems are in use by 54 airports in the U.S. InVision was founded to make EDS equipment and has the predominant market share. L3 is part of a much larger defense contractor with fewer machines deployed. Peckin Elmer makes EDS type equipment but has not yet been certified by the FAA.

EDS uses a CT (Computed Tomography) scan technology to create 3D images of a bag's contents that can be manipulated and sliced to give a screener a very detailed view of anything inside a bag. A perceived threat will trigger an alarm. EDS technology is different from Explosives Trace Detection (ETD) technology that uses ion mobility spectrometry to "sniff" explosive residue from a bag or a person. ETD systems are in use at passenger checkpoints, whereas EDS are used for checked baggage.

It will take a very significant ramp-up to reach the EDS screening standard of 100% of bags checked at all U.S. airports. Until September 11, the EDS market was slow and irregular. Since there is now more urgent demand, a significant expansion in production capability will be required. This is expected to take up to eighteen months. Since EDS machines are built with CT Scan technology, there may be manufacturers of CT Scan machines who become interested in the EDS market. If the government were to put out a large multi-year commitment, the eighteen months could be shortened by competition. A total investment in the billions could be required to fully equip U.S. airports.

Prior to September 11, an alternative to EDS was "passenger bag match" -- a system which insured checked baggage would not fly without the passenger. The reality of suicide terrorists diminishes the confidence level that bag match would prevent a terrorist bombing. The suicide bomber threat places a greater emphasis on CAPPS (Computer Assisted Passenger Prescreening System) to identify passengers whose luggage needs further screening using available EDS or manual search techniques. The combination of CAPPS and random selection of checked baggage to use 100% of available EDS screening capacity has been implemented since September 11, but is still not a substitute for EDS screening of 100% of checked baggage.

Foreign Flag Air Carriers and Aircrew Vetting

139 foreign flag air carriers serve the United States. Depending on seasonality, there are approximately 820 arrivals a day spread across the major U.S. cities. There are no onward destinations in the U.S. The International Civil Aviation Organization (ICAO) sets standards for all air carriers regarding security procedures and the FAA has authority to issue more stringent standards as needed. Today, foreign flag carriers must meet the same standards as U.S. flag carriers in screening passengers and securing aircraft. Canada

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NOV. 14. 2001 1:06PM DOT-DEP SEC-52

NO. 7211 P. 4

and Israel, among others, deploy air marshals, but there is no international standard. There are discussions within ICAO about future air marshal requirements.

Since September 11, the FAA and the State Department have requested and received lists of foreign air carriers' flight deck crewmembers that will fly to and from the US. Seventeen countries of concern have provided this information. These lists are being vetted with CIA, FBI and foreign intelligence/security agencies to attempt to identify and remove individuals who pose a threat to civil aviation. FAA will provide a verbal update on this program at today's meeting.

Systems of Systems

Aviation security is an interlocking system of eight complementary systems and numerous connected sub-systems. (See Attachment A) The Secret Service analogy of Presidential protection to aircraft protection illustrates the many layers of protection from advance intelligence, through outer perimeters, to the last line of defense. While most attention is paid to the prominent role of screeners and FAMA, the supporting information systems and other less visible means are an integral part to the total package.

Exhibit 5



Homeland Security

MEMORANDUM OF ACTIVITY

Type of Activity: Records Review

Case Number: I05-BICE-SID-09277S	Case Title: Office of Special Counsel, FAMS
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On May 9, 2005, [SS I], Policy and Compliance Unit, Federal Air Marshals Service (FAMS), Immigration and Customs Enforcement (ICE), [SS I], provided copies of the performance awards given to FAMS SACs in the last six months, to Special Agent (SA) [b7c] Department of Homeland Security (DHS), Office of Inspector General (OIG), concerning an allegation by a whistleblower (WB), a current Federal Air Marshal (FAM) who requested anonymity. The WB alleged that the FAMS falsely inflated the number of flights covered by FAMS in a December 2004 internal report, which caused: misinformation to be sent to Congress, unwarranted bonuses for SACs, and ceased access (to mid-level management) to the internal computer system that tracks FAM statistics.

[b7c] [SS I] queried [b7c] Program Analyst, Office of Mission Support, FAMS [b7c] concerning the awards to FAMS SACs in the past six months. [SS I] provided e-mail correspondence that documented that in the past six months, one SAC was given a performance award. In December 2004, [SS I] was given a \$15,000 performance award and was recommended for a pay level increase. (attached)

[SS I] included a copy of the award justification memorandum for [SS I]. The memorandum gives a detailed account of the initiatives by [SS I] however, flight statistics for the [SS I] were not listed as justification for [SS I]'s award. [Agent's Note: The WB's allegation were based solely on December 2004 statistics; he/she contended that flight statistics were a significant factor in determining the bonuses awarded to SACs. The WB implied there were numerous awards to SACs based on flight statistics; this report disproves the WB's allegation.] (attached)

Name, Title, Signature, and Date: [b7c] 5 USC § 552(b)(7)(C) 5/9/05	Reviewing Official Name, Title, Signature, and Date: G. Michael Wilson, Special Agent in Charge 5/11/05
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b7 [b7c]

From: [SSI]@secareskies.net]

Sent: Monday, May 09, 2005 9:13 AM

b7 To: [b7c]

Cc: [SSI]

Subject: FW: Response to OIG Question on SAC Awards

b7 [b7c]

In response to the DHS/OIG inquiry about awards to SAC's in the FAMS, only [SSI] has received an award in the last six months. A copy of his award justification is attached below. Hope this helps.

[SSI]

[SSI]
[SSI] Policy Compliance Unit
DHS/ICE/FAMS
HQ - Field Operations
[SSI]
[SSI]@secareskies.net

-----Original Message-----

b7 From: [b7c]

Sent: Friday, May 06, 2005 8:28 PM

To: [SSI]

Subject: RE: Response to OIG Question on SAC Awards

[SSI]

That is accurate -- no other SACs, including all K-band SACs and those at HQ, have received an award in the past six months. Only SAC [SSI] (who is an SES member) has received an award in the past six months.

b7 [b7c]

-----Original Message-----

From: [SSI]
Sent: Fri 5/6/2005 5:26 PM

b7 To: [b7c]

Cc: [SSI]

Subject: FW: Response to OIG Question on SAC Awards

b7 [b7c]

Thank you very much! Just to confirm one point - no other SAC's to include K-Band and those in HQ, have received an award in the past six (6) months? I'll report these results to DHS/OIG first thing on Monday.

[SSI]

[SSII]
[SSII] - Policy Compliance Unit
DHS/ICE/FAMS
HQ - Field Operations
[SSII]
[SSII] @secureskies.net

-----Original Message-----

b7 From: [b7C]
Sent: Friday, May 06, 2005 4:58 PM
To: [SSII]
Subject: Response to OIG Question on SAC Awards
Importance: High

[SSII]

b7 Per [b7C] from FAMS HR, only one FAMS SAC has received an award in the past 6 months --
SAC [SSII]. This award was approved by DHS in December 2004. The narrative justification for such is attached.

Please let me know if I can be of further assistance with this.

[b7C]
Program Analyst
Office of Mission Support
Federal Air Marshal Service
[b7C]
[b7C]

<<SES Performance Award [SSII].doc>>

TSES PERFORMANCE AWARD/PAY INCREASE RECOMMENDATIONS

TSES Member: SSI

Type of Appointment: NTE 3 YR: NTE 5 YR: Permanent: X

Performance Award Recommendation:

TSES Performance Award: X Amount: \$15,000

TSES Pay Increase: Percentage:
Recommended By:

Rating Official

Date

JUSTIFICATION: For TSES performance award and pay increase recommendations, briefly describe major accomplishments for program-specific performance elements.

ACCOMPLISHMENT OF PROGRAM PERFORMANCE ELEMENTS

As the SSI performed his assigned duties in an outstanding manner, effectively leading the SSI by continuously articulating the FAMS mission, core values, and strategic goals. During the performance period, SSI undertook several initiatives to improve morale and the operational effectiveness of his field office. Under his leadership, the SSI conceptualized and pioneered the mission recovery process which the FAMS has completely adopted Service-wide and has proven to successfully increase productivity by efficiently recovering potentially lost missions while also ensuring that the FAMS do not have to cover these missions on their days off. This has also allowed the SSI to successfully staff Special Mission Coverage flights to several overseas destinations, often within hours of receiving requests to do so.

SSI has established the FAMS as a major participant in the aviation, law enforcement and political communities in SSI. Under his direction, the SSI employs a robust outreach program that actively seeks out stakeholders and law enforcement partners in an effort to introduce the FAMS into their respective communities and provide them with a clear understanding of the FAMS mission.

Overall, SSI is an exceptional leader who continuously articulates the FAMS mission, core values, and strategic goals to his subordinates, ensuring that they are strongly aware of the Director's vision of the FAMS organization on a continuous basis. He promotes a work environment of mutual respect, collaboration, diversity and teamwork, while always ensuring that his managers are properly prepared to assume leadership roles of greater responsibility in the future.

SSI has effectively served as a key member of the FAMS executive staff for over two years and he is recognized for his distinguished eleven-year career in the Senior Executive Service and a thirty-year career in Federal law enforcement. For his many contributions, his

sustained excellence as a leader and mentor, and his tireless efforts in building the SSJ.
SSJ is highly recommended for both an annual performance award bonus and a pay level increase.

Exhibit 6



Homeland Security

MEMORANDUM OF ACTIVITY

Type of Activity: Records Review

Case Number: I05-BICE-SID-09277S	Case Title: Office of Special Counsel - FAMS
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On May 3, 2005, [redacted] SSI [redacted] Policy and Compliance Unit, Federal Air Marshals Service (FAMS), Immigration and Customs Enforcement (ICE), [redacted] SSI [redacted] SSI provided e-mail correspondence that outlined FAMS appraisal and recognition procedures, to Senior Special Agent (SSA) [redacted] b7c Department of Homeland Security (DHS), Office of Inspector General (OIG), pursuant to a DHS OIG investigation of allegations by a whistleblower (WB), that the FAMS falsely inflated the number of flights covered by the Federal Air Marshals (FAMS) in a December 2004 internal report. According to the allegation, the report provided misleading information to Congress, resulted in unwarranted bonuses for SACs, and ceased access (for mid-level FAMS management) to the internal computer system that tracks FAMS statistics. The WB is a current FAM who requested anonymity.

[redacted] SSI queried [redacted] SSI [redacted] Field Operations, FAMS, [redacted] SSI [redacted] concerning the evaluation of the SACs in the field offices to determine what criteria was used for performance appraisal and special awards. [redacted] SSI provided e-mail correspondence from [redacted] SSI [redacted] dated May 3, 2005, to the DHS OIG that stated that field office SACs are not and never have been evaluated based on the number or duration of missions flown by FAM personnel, nor are SACs awarded cash bonuses based on the number of missions flown. [redacted] SSI stated in his e-mail that evaluations are based on the following: excellence of management skills; submission of Field Office work plans to include initiatives and objectives; success of various programs (i.e., Surveillance Detection Reports and Mission Recovery Programs); ability to independently resolve problems and issues in all operational components; ability to be positive, proactive, and professional in their interaction with all interested parties; and the quality of the SAC's executive portfolio and their ability to promote the mission of the FAMS. (attached)

[redacted] SSI provided the DHS OIG with copies of the forms used for the performance plan for supervisors:

- *DHS Performance Appraisal Form for Senior Executive Service/TSES,
- *Performance Agreement for Other Supervisor/Manager (i.e., non-executive)
- *Employee Performance Agreement (specific standards for supervisors)

A review of the aforementioned documents by the DHS OIG revealed no details on the use of statistics for the number of flights/missions by the FAMS as a method for evaluating or awarding supervisors. (attached)

5 USC § 552 (b) (7) (C) 5/12/05 Senior Special Agent	Reviewing Official Name, Title, Signature, and Date: G. Michael Wilson, Special Agent in Charge 5/12/05
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MEMORANDUM OF ACTIVITY

SSI also provided the DHS OIG with copies of a new Policy Directive, Office of Mission Support (OMS) 3460 titled, "In-Position Increase Policy and Procedure," effective April 29, 2005. This Directive was designed to recognize all FAMS employees, including supervisors, who excel in their specific occupational area. A review of the aforementioned Directive revealed no mention of using statistics in the evaluation process to award any FAM employee. (attached)

b7E [redacted] b7C FAMS [redacted] SSI provided the DHS OIG with a copy of the FAMS Recognition Program Directive, OMS 1140, established on June 30, 2004, by Thomas Quinn, Director, FAMS. Per the directive, "The overall purpose of the FAM Recognition Program is to acknowledge FAMS who fly a superior number of missions each calendar year. This program shall recognize individual FAMS for their hard work and dedication, as well as, promote quality performance throughout the Service." (attached)

(name disclosable)

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b7 [b7c]

From: [SSI]@seureskies.net
Sent: Tuesday, May 03, 2005 6:01 PM
To: b7 [b7c]
Subject: FW: Appraisal Process

b7 [b7c]

Below you will find the comments of [SSI]. All of the [SSI] fall under his domain. He would be the equivalent to the [SSI] in the USSS. I hope this helps and let me know if you need anything else. He addressed his comments to me and you are being provided the uncut version.

Thx's.. [SSI]

[SSI]
[SSI] - Policy Compliance Unit
DHS/ICE/FAMS,
HO - Field Operations
[SSI]
[SSI]@seureskies.net

- > In reference to the question you raised, please be advised that field SACs are not - and have never - been evaluated based on the number or duration of missions flown by FAM personnel. On the contrary, they are evaluated based on the excellence of their managerial skills.
- > For example, field SACs are required to submit annual Field Office Workplans, with proposed initiatives identified at the beginning of the year, and end-of year plans citing objectives met throughout the year.
- > They are evaluated based upon the success (or lack thereof) of various programs. Specific examples would be the consistency and quality of Surveillance Detection Reports, Mission Recovery Programs, and so forth.
- > They are further evaluated as to their ability to independently resolve problems and issues, and on the level of innovation and creativity reflected in their stewardship of all operational components.
- > They are evaluated on their positive, proactive and professional interaction with all partners, stakeholders and interested parties.
- > In short, each SAC is evaluated on the quality of his/her executive portfolio, and their ability to employ their skillsets in a manner that promotes the mission of the Federal Air Marshal Service.
- > They are NOT evaluated on mere "outputs" such as number of missions flown and/or hours spent in the aircraft. Nor are cash awards assigned to SACs based on this latter criteria.

- >
- >
- > [SSI]
- > [SSI]
- > Field Operations
- > [SSI]
- > [SSI]
- >

60

b7 [b7C]

From: [redacted] [redacted]@secureskies.net]
Sent: Tuesday, May 10, 2005 2:37 PM
To: [redacted] [redacted]
Subject: FW: FY 2005 Performance Docs

b7



2005 SES 2005_performance Supervisors
Performance Plan.doc _templates.doc... erformance Stand...

7C - FYI on how our managers are evaluated!

[redacted] SSI
[redacted] SSI

[redacted] - Policy Compliance Unit
DHS/ICE/FAMS
HQ - Field Operations

[redacted] SSI
[redacted] SSI @secureskies.net

- >
- > Attached below is the Performance Plan for FY 2005 for SESs.
- >
- > > <<2005 SES Performance Plan.doc>>
- >
- > Attached below are the two Performance Plans for FY2005 for Supervisors (the first file is the TSA plan and the second file is the FAM Service plan).
- >
- > In the file titled "2005_performance_templates.doc", please refer to Attachment 3 which covers ATSACs, ASACs, SACs, and other non-executive supervisors. The file titled "Supervisors Performance Standards" is the FAM Service specific standards for supervisors.
- >
- > > <<2005_performance_templates.doc>> > > <<Supervisors Performance Standards.doc>>
- >
- >
- >



**DEPARTMENT OF HOMELAND SECURITY
PERFORMANCE APPRAISAL FORM
SENIOR EXECUTIVE SERVICE/TSES**

Part A: Identification And Administrative Data				
1. Executive (Last, First, MI)	2. Executive Base Pay			
3. Component	4. Position Title			
Part B: Executive Consultation and Progress Review				
Elements Issued	Date			
1a. Employee (Signature)	2a. Employee (Signature)			
1b. Rating Official (Signature)	2b. Rating Official (Signature)			
Part C: Performance Appraisal - Initial Summary Rating				
Achieved Excellence	Exceeded Expectations	Achieved Results	Minimally Satisfactory	Unsatisfactory
1. Supervisor's Signature and Date: _____				
2a. Executive's Signature and Date: _____				
2b. Check if applicable: <input type="checkbox"/> I request a higher level review				
Part D: Certification - Annual Summary Rating				
3. Action:	4. Higher Level Review (Reviewing Official Signature)	5. Performance Review Board (Chairperson Signature)	6. Annual Summary Rating Determination (Component Head Signature)	
Decision	<input type="checkbox"/> concur <input type="checkbox"/> non-concur	<input type="checkbox"/> concur <input type="checkbox"/> non-concur	<input type="checkbox"/> concur <input type="checkbox"/> non-concur	
Signature	Date	Date	Date	



Part E: Mandatory Performance Elements (Specify up to 5 mission-related elements)

Section 1: Mission-Related Element(S) Achieves results by setting long and short-term objectives that are realistic and measurable, and contribute to the success of the Department's strategic plan, annual work plans, and/or key government-wide objectives. Work plans must include measures that balance the achievement of organizational objectives with customer satisfaction, and other stakeholder/employee perspectives.

Mission-Related Element Ratings (<i>elements and measures may be longer than the space provided below</i>)	Achieved Excellence	Exceeded Expectations	Achieved Results	Minimally Satisfactory	Unsatisfactory
1. Provides essential executive-level leadership and support in order to develop partnerships within the transportation industry and with other organizational components of DHS as well as other government agencies and the international community to strengthen the nation's capability to detect, deter and defeat the criminal terrorists.					
2. Provides essential executive-level leadership and support in order to build and maintain the necessary relationships among the stakeholder community to foster communication, support and effective implementation of federal law enforcement strategies designed to reinforce FAMS, ICE and DHS policy objectives.					
3. Consistently develops and/or fully supports the appropriate organizational policies, procedures, and programs that enable the FAM Service to proactively deter foreign and domestic criminal terrorists and other individuals from causing harm or disrupting the U.S. civil aviation system.					
4. Consistently develops and/or fully supports the appropriate organizational policies, procedures, and programs that enable the FAM Service to ensure an effective federal law enforcement response capability is present to swiftly and effectively restore freedom of movement.					
5. Consistently develops and/or fully supports the appropriate policies, procedures, and programs that enable the FAM Service to operate as a leading edge, performance-based organization that meets and/or exceeds performance objectives while practicing outstanding stewardship of resources.					



Section 2: Mandatory Classification Management and Safeguarding of Classified Information Element

(Mandatory for Employees Who Create or Handle Classified Material) Check, if appropriate

Classifies information under proper authority; uses sound judgment based on regulatory guidelines and classification sources when making classification decisions; ensures appropriate markings are applied to classified information to reflect classification status, authority, and declassification; safeguards classified information in the manner prescribed by regulation or directive; reports incidents involving the improper handling or unauthorized dissemination of classified information; seeks assistance or guidance when needed.

Classification Management and Safeguarding of Classified Information Leadership And Management Rating

(Check the Appropriate Box)

Pass	Fall



Section 3: Strategic Leadership Performance Element; demonstrates effective individual and organizational leadership and establishes overall direction by:

1. **Leading People**
 - a. Provides leadership in setting the organization's expected performance levels commensurate with the Component and DHS Strategic Plans. Inspires, motivates, and guides others toward goal accomplishment and empowers people by sharing power and authority.
 - b. Assesses employees' unique developmental needs and enables people with development opportunities to achieve higher levels of function.
 - c. Exercises leadership skills to promote diversity and develops plans to improve the diversity of the workforce through outreach, and ensures a workplace free of discrimination at all levels within DHS.
2. **External Awareness**
 - a. Identifies and keeps up-to-date on key national and international policies and economic, political, and social trends that affect the organization.
 - b. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.
3. **Vision**
 - a. Takes a long-term view and acts as a catalyst for organizational change.
 - b. Builds a shared vision with others.
 - c. Influences others to translate vision into action.
4. **Strategic Thinking**
 1. Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy.
 2. Examines policy issues and strategic planning with a long-term perspective.
 3. Determines objectives and sets priorities.
 4. Anticipates potential threats or opportunities.
 5. Continually seeks opportunities to improve effectiveness and efficiency, and champions a culture of excellence and transformation within DHS.
5. **Entrepreneurship**
 - a. Identifies opportunities to develop and market new products and services within or outside of the organization.
 - b. Creates and sustains an environment that encourages innovation and risk-taking to optimize DHS resources to meet evolving needs and priorities.
 - c. Initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.
 - d. Achieves results with an effective expenditure of time, money, and human and material resources.
 - e. Makes decisions concerning resources, functions, and partnerships that achieve significant results for DHS and that serve the collective interests of the federal government.
6. **Political Savvy**
 - a. Identifies the internal and external politics that impact the work of the organization.
 - b. Recognizes the impact of alternative courses of action.

Approaches each problem situation with a clear perception of organizational and political reality.

Strategic Leadership Element Rating (Check the Appropriate Box)

Achieved Excellence	Exceeded Expectations	Achieved Results	Minimally Satisfactory	Unsatisfactory



PART F
Executive Self Appraisal

Executives should provide a one (1) page summary of their accomplishments which addresses each critical element. This summary should be provided to the appropriate supervisor prior to the initial summary rating.

PART G
Accomplishments

Rating officials should provide a one (1) page summary of accomplishments which addresses each critical element. This summary is provided to the higher level reviewing official (if applicable), Performance Review Board (PRB), and the deciding official. There is no page limit in the event of an initial rating of less than "Achieved Results". This section may also be used to support performance awards (bonuses and pay adjustments).

Performance Agreement for Other Supervisor/Manager
(Non Screener)

Attachment 3

Employee Name:		Position:	Organization:
Performance Period:		Social Security Number:	
From:	To:		
As a Transportation Security Administration employee, I will work diligently to achieve the following organizational and individual goals:			
Organizational Goal(s):	<p>Domain Awareness (Environment in which TSA work is performed) Ensure we gain awareness of the full scope of activities in our domain of responsibility. TSA must identify, understand and anticipate the domain in which it operates:</p> <ul style="list-style-type: none"> - Potential risks to the transportation infrastructure, passengers, or - Response capability that TSA and its stakeholders control - Economic, social, and political drivers that impact either risk or response <p>Prevent/Protect Deter foreign and domestic terrorists from causing harm or disrupting the transportation system and its users. TSA will achieve this goal with a multi-layered deterrence and response system. Deterrence through vigilant and consistent execution of security intelligence is the first and most critical line of defense.</p> <p>Respond Ensure that an agile incident response capability is coordinated to swiftly and effectively restore freedom of movement. This requires proactive, consistent and accurate communication with our external and internal partners and to the stakeholders' community.</p> <p>Organizational Effectiveness Operate as a leading edge, performance-based organization that consistently meets performance objectives while practicing outstanding stewardship of our resources. TSA will hold accountable its workforce to meet our mission requirement and customer needs.</p> <p>Model Workplace Vision TSA's most important resource is its employees. In order to support its employees and enable them to perform at the highest level, TSA leadership embraces its unique and historic opportunity to create a Model Workplace exemplifying the best employment ideals and practices.</p> <p>The promise of a Model Workplace means that TSA will build and continuously foster a diverse and inclusive workplace culture based on mutual respect. Fairness, open communication and cooperation will provide all TSA employees with the skills and processes that support these values. The TSA Workplace will embody this principle: <i>"Communication plus Cooperation plus Conflict Management yields confidence in ourselves, in each other and from the public"</i>.</p> <p>Supplemental Goal(s): (The supervisor may include additional Unit goals here.)</p>		

Performance Agreement for Other Supervisor/Manager
(Non Screener)

<p>Individual Goal(s):</p>	<p>Critical Element # 1: Domain Awareness Take personal responsibility to identify, understand and anticipate the domain in which work is performed and educate the workforce regarding the importance of this element.</p> <p>Critical Element # 2: Prevent/Protect Train and encourage all employees to take responsibility for individual unit assignments and vigilantly carry out duties with utmost attention to tasks that will prevent security threats.</p> <p>Implement a multi-layered deterrence and response system through appropriate implementation of security intelligence in accordance with the TSA strategic plan and direction from executive management.</p> <p>Critical Element #3: Respond Ensure that employees in my unit communicate and report all suspicious and security related incidents to the appropriate management levels. Commit to use of all appropriate and effective communication vehicles to provide information, intelligence and security processes in carrying out job duties.</p> <p>Require each employee to be accountable for using proactive, consistent and accurate communication with external and internal partners and to the stakeholder community.</p> <p>Lead by example and expect all employees in my unit to demonstrate highest levels of courtesy to travelers to travelers, members of the public, and others with whom they deal. Work to maximize the traveling public's highest levels of satisfaction with TSA services.</p> <p>Critical Element #4: Organizational Effectiveness Train and encourage all employees in my work unit to conduct themselves as an effective team member to ensure that security is not compromised. Contribute to the accomplishment of the TSA mission and vision by:</p> <ol style="list-style-type: none">(1) Supporting TSA Values.(2) Demonstrating the highest level of concern for the civil rights of both co-workers and the traveling public.(3) Making sure that all TSA funds, property and other resources assigned or allocated for my use are guarded against waste, loss, unauthorized use and misappropriation.(4) Ensure a positive working environment by taking prompt and appropriate action to deal with all allegations discrimination or other inappropriate conduct. Obtain guidance in handling such situation, if necessary. <p>Critical Element # 5: Model Workplace Vision Supervisors are expected to:</p> <p>Provide authentic opportunities to all employees to raise workplace issues and resolve them cooperatively without fear of recrimination or retaliation.</p> <p>Provide a working environment characterized by mutual respect and fair, consistent and nondiscriminatory treatment.</p> <p>Create and maintain an environment that encourages and protects optimal information flow to and from employees within his/her organizational unit and</p>
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**Performance Agreement for Other Supervisor/Manager
(Non Screener)**

	<p>across organizational units when appropriate.</p> <p>Promote cross-functional approaches to problem solving to achieve organizational success.</p> <p><i>Supplemental Goal(s): (The supervisor may include additional individual goal(s) here by supplementing, charging and/or clarifying job expectations during rating period.) Supervisor may want to add: Other duties as assigned.</i></p>
<p>I also agree to meet or exceed the following level of performance:</p>	
<p>Standard for Satisfactory Performance:</p>	<p>I will provide ongoing guidance and direction to my staff to improve the overall effectiveness of individual team members and the organization as a whole. I will complete all required assignments as scheduled in accordance with established policies, procedures and other directives. Assignments and all work products will be completed assuring the highest quality with the focus on meeting the organizational goals. I will perform all security functions in an effective and timely manner in accordance with TSA prescribed guidelines.</p> <p><i>Supplemental Standard(s): (The Appraising Official may include additional standard(s) here.)</i></p>
<p>Performance Agreement Initiation:</p>	<p>Employee signature and date:</p> <p>Supervisor signature and date:</p>
<p>Mid-Cycle Performance Review:</p>	<p>Employee signature and date:</p> <p>Supervisor signature and date:</p>
<p>Performance Assessment at the end of the appraisal period (supervisor will initial indicating performance level.):</p>	<p>The Supervisor met or exceeded the standard for satisfactory performance: _____</p> <p>The Supervisor failed to meet the standard for satisfactory performance: _____</p>
<p>Employee signature and date:</p>	<p>Supervisor signature and date:</p>

Performance Agreement for Other Employees
(Non-Screener/Non-Supervisory)

Attachment 4

Employee Name:		Position:	Organization:
Performance Period:		Social Security Number:	
From:	To:		
As a Transportation Security Administration employee, I will work diligently to achieve the following organizational and individual goals:			
Organizational Goal(s):	<p>Domain Awareness (Environment in which TSA work is performed) Ensure we gain awareness of the full scope of activities in our domain of responsibility. TSA must identify, understand and anticipate the domain in which it operates:</p> <ul style="list-style-type: none"> - Potential risks to the transportation infrastructure, passengers, or - Response capability that TSA and its stakeholders control - Economic, social, and political drivers that impact either risk or response <p>Prevent/Protect Deter foreign and domestic terrorists from causing harm or disrupting the transportation system and its users. TSA will achieve this goal with a multi-layered deterrence and response system. Deterrence through vigilant and consistent execution of security intelligence is the first and most critical line of defense.</p> <p>Respond Ensure that an agile incident response capability is coordinated to swiftly and effectively restore freedom of movement. This requires proactive, consistent and accurate communication with our external and internal partners and to the stakeholders' community.</p> <p>Organizational Effectiveness Operate as a leading edge, performance-based organization that consistently meets performance objectives while practicing outstanding stewardship of our resources. TSA aims to establish a culture of visionary leadership throughout the organization that adheres to proven results-focused management principles of customer-driven excellence, continuous learning, and innovation. TSA's processes, systems and tools shall be designed to empower and hold accountable its workforce to meet our mission requirements and customer needs.</p> <p>Model Workplace Vision TSA's most important resource is its employees. In order to support its employees and enable them to perform at the highest level, TSA leadership embraces its unique and historic opportunity to create a Model Workplace exemplifying the best employment ideals and practices.</p> <p>The promise of a Model Workplace means that TSA will build and continuously foster a diverse and inclusive workplace culture based on mutual respect. Fairness, open communication and cooperation will provide TSA employees with the skills and processes that support these values. The TSA Workplace will embody this principle: <i>"Communication plus Cooperation plus Conflict Management yields confidence in ourselves, in each other and from the public".</i></p> <p><i>Supplemental Goal(s): (The supervisor may include additional Unit goals here.)</i></p>		

Performance Agreement for Other Employees
(Non-Screener/Non-Supervisory)

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Individual Goal(s):	<p>Critical Element # 1: Domain Awareness Identify, understand and anticipate the domain in which I perform my work duties.</p> <p>Critical Element # 2: Prevent/Protect Carry out duties with utmost attention to tasks that will prevent security threats.</p> <p>Critical Element #3: Respond Report all suspicious activities and/or incidents perceived to compromise security to the appropriate managements levels. Utilize appropriate and effective communication vehicles that have been established and defined by my management to provide information, intelligence and security processes in amongst the levels of courtesy to all members of my team, unit members and all others that I may encounter in the course of conducting my assigned duties.</p> <p>Critical Element #4: Organizational Effectiveness Perform as an effective team member in performing assigned responsibilities at my assigned post to ensure that security violations do not get past the team. Contribute to the accomplishment of the TSA mission and vision by:</p> <ol style="list-style-type: none"> (1) Supporting TSA Values. (2) Employing tact and diplomacy in dealing with coworkers and the traveling public. (3) Making sure that all TSA funds, property and other resources assigned or allocated for my use are guarded against waste, loss, unauthorized use and misappropriation. (4) Bringing matters of concern to the attention of supervisors to enable them to appropriately deal with the situation. <p>Critical Element #5: Model Workplace Vision All TSA employees are expected to:</p> <p>Support the Model Workplace Vision by supporting Model Workplace initiatives and by treating others with courtesy and respect and helping to promote a work environment free of harassment.</p> <p><i>Supplemental Goal(s): (The supervisor may include additional individual goal(s) here by supplementing, charging and/or clarifying job expectations during rating period.) Supervisor may want to add: Other duties as assigned.</i></p>
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I also agree to meet or exceed the following level of performance:

Standard for	I will complete all required assignments successfully and as scheduled, and will
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**Performance Agreement for Other Employees
(Non-Screener/Non-Supervisory)**

Satisfactory Performance:	perform satisfactorily or higher. Assignments and all work products will be completed assuring the highest quality with the focus on meeting the organizational goals. I will perform all security functions in an effective and timely manner in accordance with TSA prescribed guidelines. <i>Supplemental Standard(s): (The Appraising Official may include additional standard(s) here.)</i>	
Performance Agreement Initiation:	Employee signature and date: Supervisor signature and date:	
Mid-Cycle Performance Review:	Employee signature and date: Supervisor signature and date:	
Performance Assessment at the end of the appraisal period (supervisor will initial indicating performance level).	The employee met or exceeded the standard for satisfactory performance: _____ The employee failed to meet the standard for satisfactory performance: _____	
Employee signature and date:	Supervisor signature and date:	

	<p>Supplemental Standard(s): <i>(The appraising official may include additional standard(s) here.)</i></p> <p>Performance expectations consistent with the performance standards identified in this agreement were communicated to the employee within 7 days of entrance on duty and prior to September 15, 2002.</p>
<p>Performance Agreement Initiation:</p>	<p>Employee signature and date:</p> <p>Appraising Official signature and date:</p>
<p>Mid-Cycle Review:</p>	<p>Employee signature:</p> <p>Appraising Official signature:</p> <p>Date:</p>
<p>Performance Assessment at the end of the appraisal period (appraising official should circle yes or no):</p>	<p>The employee met or exceeded the standard for satisfactory performance: Yes No</p>
<p>Employee signature and date:</p>	<p>Appraising Official signature and date:</p>



IMMIGRATION AND CUSTOMS ENFORCEMENT
FEDERAL AIR MARSHAL SERVICE
DIRECTIVES SYSTEM

OMS 3460

4/29/05

SUBJECT: IN-POSITION INCREASE POLICY AND PROCEDURE

1. **PURPOSE:** This Directive implements the Federal Air Marshal Service (FAMS) In-Position Increase Policy and Procedure, designed to recognize FAMS employees, including supervisors, who excel in their particular occupational area.
2. **DISTRIBUTION:** All FAMS employees.
3. **ATTACHMENT:**
 - a. *FAMS In-Position Increase*, OMS F 3460 dated April 2005.
 - b. Transportation Security Administration (TSA), Human Resources Management Policy, HRM Letter No. 531-2, *Interim Policy on Setting Pay for Promotions, Reassignments, and In-Position Increases*.
4. **RESPONSIBILITY:**
 - a. Supervisors shall ensure that employees under their supervision understand and adhere to the policy and procedure set forth in this Directive.
 - b. Employees shall adhere to the policy and procedure set forth in this Directive.
 - c. Supervisors are responsible for understanding the provisions of the Pay for Performance System and properly administering In-Position Increases to recognize superior achievement.
 - d. The Chief, Human Resources Division, Office of Mission Support is responsible for processing pay increase nominations according to this Directive.
 - e. The Chief, Budget and Financial Management Program, Office of Mission Support is responsible for managing the FAMS In-Position Increase pool funds.
5. **POLICY:**
 - a. An In-Position Increase (Increase) is a one-time performance-based three percent (3%) adjustment to an employee's base salary. Selected employees who are at the top of their pay band are not eligible to receive this Increase. Selected employees within 3% of the top of their pay band shall receive a salary adjustment to the top of the pay band. Employees are limited to one Increase in any two-year period.

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Office of Mission Support

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b. Only those FAMS employees should receive an Increase who are considered to be the top performers within their office/division and, as such, are significantly contributing to the overall success of the FAMS mission through demonstrated outstanding performance.

c. Only employees who had no disciplinary actions and who received a satisfactory performance assessment at the end of their last appraisal period are eligible to receive an Increase.

d. The Office of the Director and each Assistant Director (AD) shall be allocated funding sufficient to cover a number of Increases for their respective office, based on the allocation percentages described in Paragraph 5.e. below.

e. FAMS supervisors should use the following percentages to allocate Increases among their personnel, based on authorized staffing levels. Deviations exceeding the twenty-five percent (25%) threshold by more than five percent (5%) must be approved at the Assistant Director level:

1. Twenty-five percent (25%) of Federal Air Marshal (FAM) supervisors are eligible to receive an Increase;

2. Twenty-five percent (25%) of FAM non-supervisors are eligible to receive an Increase;

3. Twenty-five percent (25%) of Civilian (non-FAM) supervisors are eligible to receive an Increase;

4. Twenty-five percent (25%) of Civilian (non-FAM) non-supervisors are eligible to receive an Increase.

6. PROCEDURE:

a. The Director and each AD shall be the authorized approving officials for Increases for their respective offices. ADs may delegate this authority to Special Agents In Charge (SACs) within their office except that AD's may only delegate approval authority to their respective Deputy Assistant Director(s) for Increases that exceed the twenty-five percent (25%) thresholds prescribed in 5.e. above. Approvals by SACs are subject to review and approval by their AD.

b. The Director and each AD or SAC to whom approving authority has been delegated shall annually identify and approve Increases for their top-performing employees by using the criteria identified below.

c. The Director and each AD or SAC to whom approving authority has been delegated shall annually complete a FAMS In-Position Increase Form, OMS F 3460 for each selected employee under their supervision shortly after that employee's annual review, if practicable.

d. Completed OMS F 3460s must include a written justification that clearly outlines in detail the reasons for the employee's selection based on some or all of the following criteria outlined in Section 3.b. of TSA's *Interim Policy on Setting Pay for Promotions, Reassignments, and In-Position Increases*:

1. An employee's position has become substantially more difficult through assignment of complex, highly visible projects or other work.
2. The technical complexity of an employee's position has increased substantially by requirements to address technological advances, new theories and practices in the employee's area of expertise, or substantial challenges in the social or political environment.
3. There is evidence of significant professional attainments that enable the employee to perform his or her current job more effectively.
4. The employee's performance substantially exceeds the expectations of his or her current position.
5. If the employee's position is managerial, the organization that he or she directs has assumed missions that are more complex, risky, or visible and/or the organization has grown substantially in size or complexity.
6. In-position Increases may also be granted to achieve parity with highly specialized labor markets.

e. In evaluating whether an employee's performance substantially exceeds the expectations of his or her current position, the employee's achievement, service or contribution must show at least one of the following:

1. The accomplishment of assigned duties in such an outstanding and significant manner so as to be clearly noteworthy among all those who have performed similar duties, or performance of assigned tasks in such an exemplary manner as to set a record of achievement that will inspire others to improve the quality and/or quantity of their work. This could include a significant contribution to the efficiency, economy or improvement of FAMS operations.
2. Demonstration of remarkable skills, initiative and/or creative ability in a complex assignment for which the nominee was primarily responsible, or through participation in a special project or program, that resulted in significant benefits to the FAMS.
3. Performance of duties resulting in significant law enforcement achievements through activities such as surveillance detection, surveillance, counter surveillance, apprehension, or detection of individuals suspected of offenses against the criminal laws of the United States.

4. Unusual ability in overcoming organizational difficulties and/or shortages in manpower, funding and/or equipment resources to achieve objectives.

5. Demonstrated excellence in customer service to include professionalism, positive attitude, willingness to serve, personal integrity, and dedication to public service. Achievements or contributions should include elements of teamwork, problem solving, customer focus, creative and innovative techniques and results.

6. Exceptional organizational and/or planning ability in the achievement of a major project or objective that was extremely complex, sensitive, and/or labor intensive.

7. Ability to create a working environment in which subordinates work to utmost capacity and achieve objectives over a sustained period of time in an efficient manner and with exceptional quality.

8. Meritorious action during an emergency or in response to an unforeseen urgent situation.

9. Any activity taken over a significant period of time that consistently exceeds expectations and resulting in efficient and effective furtherance of the FAMS mission, goals and/or objectives.

f. The approving official shall forward the original OMS F 3460 to the Human Resources Management Division for processing. Copies of OMS F 3460 shall be forwarded to the originating office's AD and the Chief, Budget and Financial Management Program. A copy shall also be maintained as part of the office files and records.



Thomas D. Quinn
Director, Federal Air Marshal Service



U.S. Immigration
and Customs
Enforcement

April 29, 2005

ACTION

MEMORANDUM FOR: All Supervisors and holders of FAMS policy files and manuals

FROM: SSI
SSI (Operational Procedures Division)

SUBJECT: OMS 3460 In-Position Increase Policy and Procedure

Purpose

The attached Directive contains the current version of OMS 3460 In-Position Increase Policy and Procedure. The policy OMS 3460 dated 05/03/04 should be removed and destroyed and replaced with the attached edition of OMS 3460 dated 04/29/05. Copies of this Directive are to be inserted into all FAMS policy files and manuals. File this memorandum in front of the appropriate policy file or manual section. This Directive is in effect until superseded.

This revised edition contains significant changes to the number of In-Position increases that may be granted, the In-Position increase award amount and required justification criteria.

TRANSPORTATION SECURITY ADMINISTRATION
HUMAN RESOURCE MANAGEMENT POLICY MANUAL

HRM LETTER NO. 531 - 2

DATE: February 21, 2003

SUBJECT: Interim Policy on Setting Pay for Promotions, Reassignments, and
In Position-Increases

1. SETTING PAY FOR PROMOTION

a. Policy.

A promotion is defined as a move from one pay band to a higher pay band. Promotions must be made in accordance with:

HRM Letter No. 300-3, Revised Interim Policy on General Restrictions on Employee Movement After First Appointment to a Transportation Security Administration Position, issued October 9, 2002; and

HRM Letter No. 300-4, Interim Policy on Permanent Internal Assignments, issued December 2, 2002.

Increases to basic pay for a promotion may range up to 15%, or to the minimum rate for the new band, regardless of the percentage. Increases should average between 8% and 10% for the organization during each fiscal year. The management official recommending the promotion must coordinate with his/her servicing Human Resources Management (HRM) Specialist in determining the amount of a promotion increase.

b. Criteria

The amount of the promotion increase, if any, is based on an application of the criteria outlined below.

- (1) The employee's past performance versus job expectations and in comparison to the new peer group.
- (2) Employee's current pay (basic pay excluding locality pay) relative to the new pay band and in comparison to pay for other employees in the new peer group who perform the same or highly similar work.
- (3) The importance of the job's skills and responsibilities to the organization's objectives.

(4) Employee's skill level relative to that desired for the new position and in comparison to the skills of other employees performing the same or highly similar work.

(5) The degree of change in job complexity, duties, responsibilities (including management responsibilities), and potential impact on the achievement of objectives.

c. Approval Authority.

To the extent delegated within their own organizations, selecting officials have the authority to determine whether permanent internal assignments will be filled competitively or non-competitively in accordance with this policy. They may also determine the method of identifying or soliciting candidates, including the area of consideration and, if competitive procedures are used, whether candidates should be ranked numerically, grouped into well qualified and qualified categories, or both. Latitude has been allowed individual organizations to supplement the guidance in this document to ensure that the program affords appointing authorities flexibility to manage their own promotion programs.

2. REASSIGNMENT INCREASE

a. Policy.

An employee may receive a reassignment increase when he/she is permanently assigned to a *new* position within the same Pay Band as his/her current position. No employee may receive a reassignment increase until he or she has been on TSA rolls for at least 90 days.

Reassignment increases may range from 1% to 7% of basic pay and should average 4% to 5% for the organization during each fiscal year. No more than 20% of an organization's employees who are reassigned may receive reassignment increases in any fiscal year. Granting a reassignment increase is at the sole discretion of appropriate management officials; however, reassignment increases should be relatively unusual because of the criteria that must be met to justify them.

b. Criteria.

A detailed written justification for the reassignment increase must be completed and approved by the appropriate Assistant Administrator / Office Director or designee prior to the action being effective.

Eligibility for a reassignment increase and the amount of the increase are based on an assessment of the reassignment as outlined below.

- (1) The reassignment must be to a position perceived to be of higher complexity than the previously held position. The reassignment increase is designed to recognize increased responsibility or accountability; or
- (2) The reassignment must be to a position of greater value to the TSA than the previously held position and be considered mission critical. One example is positions involving managerial or project management responsibility; and
- (3) The new position must be considered hard-to-fill based on unsuccessful recruitment efforts, the perceived undesirability of the position, or other factors that indicate difficulty in filling the position with a well-qualified candidate; and
- (4) The employee must be well qualified for the position, and possess and immediately apply critical skills uniquely suited to the position.

Reassignment increases may not be granted to incumbents of reconstituted or reclassified positions. In addition, reassignment increases for reassignments to positions of equal value are inappropriate.

3. IN-POSITION INCREASE

a. Policy.

In-position increases acknowledge special circumstances such as an employee's significant professional growth or increased complexity of an employee's current job.

In-position increases may range from 1% to 7% of basic pay, and should average 4% to 5% for the organization as a whole during each fiscal year for all in-position increases granted. No more than 2% of employees within an organization may receive in-position increases in any fiscal year. An employee may not receive an in-position increase until he or she has been on TSA rolls for at least 90 days, and may receive no more than one in-position increase over a two-year period.

b. Criteria.

A detailed written justification for the in-position increase must be completed and approved by the appropriate Assistant Administrator/Office Director or designee prior to the action being effective. Eligibility for an in-

position increase and the amount of the increase are based on some or all of the criteria outlined below.

- (1) An employee's position has become substantially more difficult through assignment of complex, highly visible projects or other work.
- (2) The technical complexity of an employee's position has increased substantially by requirements to address technological advances, new theories and practices in the employee's area of expertise, or substantial challenges in the social or political environment.
- (3) There is evidence of significant professional attainments that enable the employee to perform his or her current job more effectively.
- (4) An employee's performance substantially exceeds the expectations of his or her current position.
- (5) If the employee's position is managerial, the organization that he or she directs has assumed missions that are more complex, risky, or visible and/or the organization directed has grown substantially in size or complexity.
- (6) In-position increases may also be granted to achieve parity with highly specialized labor markets.

4. APPROVAL AUTHORITY FOR REASSIGNMENT AND IN-POSITION INCREASES

Assistant Administrators/Office Directors or their designees, must give prior written approval of all reassignment and in-position increases before a commitment may be made to the employee or the action processed.

b7c

5 USC § 552(b)(7)(C)
5 USC § 552(b)(7)(C)
Human Resources Management

Filing Instructions: File with HRM 531 Letters and Guidance
Distribution: TSA affiliated HR Offices, Assistant Administrators, Office Directors

b7c POC: TSAHR [5 USC § 552(b)(7)(C)]

06/30/04

SUBJECT: FEDERAL AIR MARSHAL RECOGNITION PROGRAM

1. **PURPOSE:** This Directive establishes the policy and procedure for the Federal Air Marshal Recognition Program.
2. **DISTRIBUTION:** All Federal Air Marshal Service (FAMS) employees.
3. **ATTACHMENT:** *Award Nomination Form, OMS F3450.*
4. **RESPONSIBILITY:**
 - a. Supervisors are responsible for properly administering the Federal Air Marshal Recognition Program to acknowledge superior achievements and motivate employees.
 - b. Supervisors shall ensure that employees under their supervision adhere to the policy and procedure set forth in this Directive.
 - c. Employees shall adhere to the policy and procedure set forth in this Directive.
 - d. The FAMS Chief, Human Resources Division, Office of Mission Support is responsible for processing award nominations.
 - e. The FAMS Chief, Budget and Financial Management Program, Office of Mission Support is responsible for managing the FAMS award pool and for deducting award amounts from the appropriate award subpool allocation.
5. **POLICY:** The mission of the FAMS is to promote confidence in our Nation's civil aviation system through the effective deployment of Federal Air Marshals (FAMs), to detect, deter, and defeat hostile acts targeting U.S air carriers, airports, passengers, and crews. The Federal Air Marshal Recognition Program shall recognize those quiet professionals that tirelessly carry out this mission on a daily basis. The overall purpose of the recognition program is to acknowledge FAMs who fly a superior number of missions each calendar year. This program shall recognize individual FAMs for their hard work and dedication, as well as, promote quality performance throughout the Service.

6. PROCEDURE:

- a. There are two types of Federal Air Marshal Recognition Awards: The Field Office Quarterly Award (most missions flown) and the FAMS Annual Award (most flight hours and most missions flown). The number and type of recognition awards shall be based on Field Office categories, as follows:

1. Small Field Office Category -	SSI
2. Medium Field Office Category -	SSI
3. Large Field Office Category -	SSI

- b. If funding for cash awards is not available, an equivalent time off award shall be granted.
- c. Award winners must be performing at an acceptable work level and free of any pending disciplinary action.
- d. Approving Officials must properly document and justify awards using the attached *Award Nomination Form, OMS F3450* and submit it to the Chief, Human Resources Division for processing.
- e. Approving Officials must ensure that *OMS F3450* contains the following information:
1. Office/Division Name;
 2. Office Identifier;
 3. Employee Name (Last, First, MI);
 4. Social Security Number;
 5. FAM Staff ID# (If Applicable);
 6. Employee's Position Title, Series, and Band;
 7. Recommending Official (Title, Name, and Date);
 8. Type of Award Recommendation (i.e., Field Office Quarterly Award or FAMS Annual Award)
 9. Narrative Justification for the Award; and,
 10. Approving Official's Title, Name, Signature, and Date.
- f. The Approving Official shall forward copies of *OMS F3450* to the originating office's Assistant Director (AD), the Chief, Budget and Financial Management Program, and maintain a copy as part of the office files and records.
- g. Field Office Quarterly Award:
1. The Quarterly Award consists of a cash award and a certificate of achievement. Awards shall be presented to the FAM or FAMS in each Field Office who fly the most missions each quarter.
 2. Small Field Offices may grant one award each quarter, medium Field Offices may grant two awards each quarter, and large Field Offices may grant three awards each quarter.

3. The names of the award recipients shall be prominently displayed on a plaque in each Field Office. Headquarters shall furnish all certificates and plaques and Field Offices shall provide nameplates engraved with the name of the award recipients.

4. The Systems Operations Control Division shall review the archives of scheduled flights and furnish each Field Office Special Agent in Charge (SAC) with the top three candidates for each quarterly award that is presented.

5. The Field Office SAC shall make the final selection of award winners.

h. FAMS Annual Award – Most Flight Hours:

1. One Annual Award for each category of Field Office (small, medium and large) shall be presented to the individual FAM who logs the most actual flying time in his/her category. The three recipients shall each receive a cash award and an individual plaque of recognition furnished by Headquarters.

2. The Systems Operations Control Division shall review the archives of scheduled flights and furnish the AD of Field Operations with the top three candidates for each award that is presented.

3. The AD shall make the final selection of award winners.

i. FAMS Annual Award – Most Missions:

1. One Annual Award for each category of Field Office (small, medium and large) shall be presented to the individual FAM who flies the most missions in his/her category. The three recipients shall each receive a cash award and an individual plaque of recognition furnished by Headquarters.

2. The Systems Operations Control Division shall review the archives of scheduled flights and furnish the AD of Field Operations with the top three candidates for each award that is presented.

3. The AD shall make the final selection of award winners.

Thomas D. Quinn
Director, Federal Air Marshal Service