



U.S. Small Business
Administration

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U.S. Small Business
Administration

Merit Promotion

The Merit System Principles

Keys to Managing the Federal Workforce



U.S. Merit Systems Protection Board

January 2017

Introduction

Welcome to the Federal civil service! As an agency leader, you hold an important and visible position with great responsibility to yourself, your agency, the Federal Government, and the American people. Whether you are new to the Federal Government or simply moving into a new position, you will make important decisions about leading Federal employees every day.

MSPB has prepared this guide to help you understand the values and requirements of Federal merit systems so you can successfully navigate those responsibilities. Our goal is not to answer all of your questions, but rather to help you identify issues and recognize situations when you should seek advice from experts, such as your agency's human resources (HR) staff, on matters such as hiring, pay, recognition, managing performance, training, and retention.

Although this booklet cannot prepare you for every challenge that you will face, it discusses keys to managing Federal employees fairly and effectively and identifies resources that can help you implement the Merit System Principles (MSPs) and avoid Prohibited Personnel Practices (PPPs).

Contents

This guide provides:

1. Highlights from the history of the Federal civil service;
2. A set of questions and answers about the MSPs;
3. An overview of each MSP; and
4. References for additional information.

In Closing

The MSPs allow agency leaders substantial discretion—but they also mandate accountability for exercising that discretion wisely. By accepting a leadership position in the Federal civil service, you have committed to abide by the MSPs and to avoid and prevent PPPs.

Thank you for taking the time to read this guide to the MSPs.

U.S. Merit Systems Protection Board

January 2017

The mission of the U.S. Merit Systems Protection Board (MSPB) is to protect the Merit System Principles and promote an effective Federal workforce free of Prohibited Personnel Practices.



A Brief History of the Federal Civil Service

Federal employment originated in a “spoils system” in which hiring and firing of Federal Government workers was based on political loyalties. Over time, dissatisfaction increased with the inefficiency of Federal employment based on political patronage, which valued connections over competence and produced staffing upheavals with each change in Administration. Ultimately, the assassination of President Garfield by a disgruntled job seeker persuaded Congress that change was necessary.

The Pendleton Act of 1883 ended the practice of awarding Federal jobs on the basis of political affiliation or personal relationships and shifted Federal employment criteria to merit for the vast majority of Federal positions. However, the Pendleton Act did not address terminations. Therefore, it did nothing to ensure that removals were purely due to poor performance or misconduct or to protect Federal employees from removal for disclosing wrongdoing within their agencies. To address this need, in 1912, Congress enacted the Lloyd-LaFollette Act, which stated that removal actions must be for merit-based reasons and not inappropriate causes, such as whistleblowing.

By the late 1970’s, concerns were increasing that fairness within the merit system was being undermined and that personnel rules intended to preserve merit had become so numerous and complex that they impeded agency ability to effectively manage employees and remove poor performers. Therefore, Congress pursued reforms that would both enhance managers’ ability to wisely manage while preserving the principles of merit and fairness and the legal and Constitutional rights of Federal employees and applicants.

The result was the Civil Service Reform Act (CSRA) of 1978 and related Reorganization Plans, which accomplished several goals.

- To clarify expectations for the management of the Federal workforce, the CSRA established in law the MSPs and the PPPs, reinforcing or building on previous legislation.
- To balance system flexibility with system integrity, and to protect MSPs and prevent PPPs, the CSRA divided civil service responsibilities among several agencies, including the U.S. Merit Systems Protection Board (which initially included the U.S. Office of Special Counsel) and the U.S. Office of Personnel Management.
- To promote efficiency and effectiveness, CSRA provided that personnel authority would be exercised by individual agencies. Therefore, the primary responsibility for avoiding PPPs—and attaining the ideals of the MSPs—lies with employing agencies and their leaders.



What are the MSPs and the PPPs?

The Merit System Principles (MSPs) are nine basic standards that govern the management of the executive branch workforce and serve as the foundation of the Federal civil service. The Prohibited Personnel Practices (PPPs) are thirteen actions that are forbidden for employees who have the authority to make personnel decisions. Together, the MSPs and PPPs establish how the Federal workforce should be managed.

What are the general themes of the MSPs and PPPs?

- Fairness – treating employees fairly in all aspects of their employment.
- Protection – refraining from misuse of authority and protecting employees from harm, such as reprisal for the exercise of a legally protected right.
- Stewardship – managing employees in the short-term and long-term public interest.

Who is responsible for upholding the MSPs and avoiding PPPs?

All Federal employees are responsible. However, some employees have special responsibility:

- Agency leaders, as decision-makers and role models for the values distilled in the MSPs and PPPs;
- Supervisors, managers, and executives, as the officials who make decisions directly affecting the hiring, working conditions, utilization, and retention of Federal employees; and
- Human resources (HR) staff, as advisors on personnel authorities and how to exercise them.

What are the potential consequences of not supporting the MSPs?

MSPB research shows that actual or perceived failure to abide by the MSPs can lead to—

- Decreased individual and organizational performance;
- Increased Equal Employment Opportunity (EEO) complaints; and
- Increased intention to leave the agency.

When Federal laws are violated, agencies may be subject to investigation, litigation, and enforcement, which can result in corrective action and payment of compensatory or punitive damages. Also, any employee responsible for the violation of an MSP or the commission of a PPP may be subject to loss of authority, discipline or removal, and fines.



MSP 1: Recruitment, Selection, and Advancement

“Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge, and skills, after fair and open competition which assures that all receive equal opportunity.”

Purpose of MSP 1

- Focuses on attaining a well-qualified and representative workforce through open recruitment and fair, job-related assessment of applicants.
- Builds upon the Pendleton Act of 1883 which requires hiring and promotion based on qualifications such as knowledge, skills, and ability—not political or personal connections.
- Affirms the importance of basing decisions on merit and avoiding discrimination on the bases of race, color, religion, sex, and national origin (echoing Title VII of the Civil Rights Act of 1964 and related laws).

Actions to Take

- Identify talent needs through job and workforce analyses
- Actively seek diverse groups of prospective applicants through knowledgeable recruiters
- Announce vacancies through a variety of media
- Use an appropriate mix of hiring authorities
- Clearly describe the qualifications required to perform the job
- Establish job-related and measurable selection criteria
- Use assessments that are structured, valid and reliable
- Identify and address barriers to open competition and equal opportunity

Actions to Avoid

- Automatically hiring to refill vacancies without conducting an analysis of needed competencies
- Only posting vacancy announcements on USAJobs
- Relying exclusively or excessively on one or very few hiring authorities
- Restricting competition through narrowly-focused recruitment or unreasonable application procedures



MSP 2: Equity

“All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.”

Purpose of MSP 2

- Mandates fair treatment and nondiscrimination throughout the full range of employment decisions, such as recruitment and hiring, training and development, performance management, cash awards, pay increases, and retention and removal.
- Affirms that employees and applicants for employment are entitled to protections of the U.S. Constitution and the Privacy Act. For example, Federal employees maintain freedom of speech rights under the First Amendment, although they must respect some limitations, such as Hatch Act prohibitions against political campaigning (as covered in MSP 8 and PPP 3).

Actions to Take

- Select supervisors with strong skills in managing people and sufficient technical competence
- Train supervisors and hold them accountable for their workforce management decisions
- Treat employees fairly in all aspects of their work life
- Require merit-based decisions
- Exercise transparency to the greatest extent practical
- Analyze data to assess representation and employee perceptions, such as EEOC MD-715 reports, survey results, and trends in complaint filing and resolution

Actions to Avoid

- Selecting supervisors based on personal connections or technical competence rather than supervisory ability
- Basing personnel decisions on factors other than merit
- Overlooking or disregarding data that provides insight into the workforce



MSP 3: Compensation

“Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.”

Purpose of MSP 3

- Affirms a commitment to equity in both pay and performance recognition, to promote fairness and recruitment and retention of a diverse and competent workforce.
- Envisions pay that is both competitive and commensurate with non-Federal employers.
- Requires agencies to formally define, identify, and recognize “excellence in performance.”

A Closer Look: Common Pay Practices and Flexibilities in Federal Merit Systems

- *Pay grades and salary ranges based on systematic evaluation of a position’s duties, responsibilities, and qualification requirements, consistent with the Classification Act of 1949.*
- *Methods to maintain acceptably competitive salaries, such as locality pay, special salary rates, recruitment bonuses, and retention allowances.*
- *Performance appraisal systems, such as those under 5 U.S.C. 4302, that require agencies to establish standards, define levels of performance, and periodically rate employee performance.*
- *Options for recognizing high performance, such as pay increases, one-time cash awards, time off, and nonmonetary recognition.*

Actions to Take

- Ensure that positions are accurately described and properly classified
- Discuss factors that determine salary with HR staff
- Use the performance management process to monitor and document performance
- Plan and budget for employee recognition and provide recognition when deserved

Actions to Avoid

- Basing pay and award decisions on factors other than merit
- Allowing pay increases or awards to become automatic
- Failing to recognize excellent performance



MSP 4: Conduct

“All employees should maintain high standards of integrity, conduct, and concern for the public interest.”

Purpose of MSP 4

- Sets the expectation that Federal employees demonstrate exemplary integrity and conduct to maintain the public’s trust and honor their obligations to serve the public.

A Closer Look: Setting and Enforcing Standards of Conduct

- *The Principles of Ethical Conduct (5 C.F.R. Part 2635.101) describe standards of conduct that apply to all Federal employees. For example, the first principle states that “Public service is a public trust, requiring employees to place loyalty to the Constitution, the laws, and ethical principles above private gain.”*
- *Federal agencies may develop supplemental standards of conduct tailored to their individual requirements. Agency practices for addressing misconduct are governed by civil service law and regulation (e.g., 5 U.S.C. § 7513(b)(1) and 5 C.F.R. § 752.604(d)) or agency-specific provisions.*

Actions to Take

- Hire employees with integrity
- Conduct careful assessments, such as reference checks—but consider only job-related information (as stated in PPP 2)
- Be mindful of challenges to uncovering integrity issues (such as a lack of transparency and “clean record” agreements)
- Appropriately utilize the probationary period
- Act swiftly to address risks and problems
- Encourage employees to report wrongdoing that they observe (also in MSP 9)

Actions to Avoid

- Making hiring decisions with insufficient information
- Avoiding or postponing action on potential integrity problems
- Ignoring or punishing those who report wrongdoing



MSP 5: Utilization

“The Federal work force should be used efficiently and effectively.”

Purpose of MSP 5

- Requires a balance between operational needs and obligations to employees.
- Sets a standard for day-to-day management of the workforce, beyond the specific HR policies and practices addressed by other MSPs.
- Necessitates supervisors who support and implement all of the MSPs, to attain a high-performing Federal workforce that serves the public interest.

A Closer Look: “Efficient and Effective” and “Fair”

An agency-level perspective on the efficient and effective utilization of the workforce includes having the appropriate level of staffing and managing the workforce within allocated funding levels.

However, efficiency and effectiveness are not just about the number or cost of employees. Long-term efficiency and effectiveness are undermined if agency leaders focus too narrowly on fiscal matters or short-term results at the expense of people. Inattention to fair treatment harms not only current and prospective employees, but also organizational outcomes and the public the organization serves.

Actions to Take

- Recognize the critical role of supervisors
- Select and train supervisors who are willing and able to implement all the MSPs
- Conduct succession planning to prepare a diverse candidate pool for future leadership roles
- Weigh the positive and negative outcomes of various strategies to manage staffing levels
- Use staffing strategies geared to anticipated changes in the level or nature of work
- Understand the importance of employee engagement to organizational outcomes

Actions to Avoid

- Selecting supervisors based on personal connections or technical skills
- Considering only organizational needs or only employee needs



MSP 6: Retention

“Employees should be retained on the basis of the adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.”

Purpose of MSP 6

- Directs agencies to identify and address poor performance.
- Authorizes action, including removal, while emphasizing correction over punishment.

A Closer Look: Addressing Poor Performance in the Civil Service

Title 5 of United States Code, the civil service law covering most Federal employees, has two chapters (Chapter 43 and Chapter 75) that authorize removal or demotion for unacceptable performance. Both chapters require similar steps, but their standards of evidence and procedures differ.

- *Chapter 43 requires the agency to meet the standard of “substantial” evidence, while Chapter 75 imposes a higher standard of “preponderant” evidence.*
- *Chapter 43 requires the agency to provide the employee an opportunity to demonstrate acceptable performance, which is not required under Chapter 75. However, an action taken under Chapter 43 cannot be mitigated (reduced) by MSPB, while a penalty under Chapter 75, such as removal, can.*

In accord with the Constitutional due process requirements under the Fifth Amendment, Title 5 provides procedural rights and the right to appeal the action to a neutral third party—MSPB. This ensures that employees will receive a fair hearing and promotes confidence in the integrity of the process and outcome.

In summary, a Federal employee can indeed be removed for poor performance—but the agency must follow procedures and present evidence to ensure that the removal has a legitimate basis and motive.

Actions to Take

- Communicate performance requirements clearly, review progress regularly, and provide constructive feedback and coaching
- Evaluate options for remedying poor performance—and act
- Understand and observe due process requirements, to treat employees fairly and ensure that any adverse action taken can be defended

Actions to Avoid

- Avoiding or postponing appropriate action to address poor performance



MSP 7: Employee Training and Development

“Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.”

Purpose of MSP 7

- Directs agencies to invest time and money into training and development opportunities to promote employee performance and retention.
- Establishes the dual goals of improving individual and organizational performance.

A Closer Look: Employee Education and Training as an Investment

Agencies should make and honor a commitment to employee development even during stringent budgets, because an investment in employees can—

- *Provide an excellent return on investment in improved individual and organizational performance;*
- *Help employees gain the skills needed to adapt and excel as their work environments and responsibilities become increasingly complex; and*
- *Aid employee motivation and retention by making employees feel valued and providing an opportunity to enhance knowledge and abilities.*

Actions to Take

- Provide resources and opportunities for employees to improve their performance
- Prioritize training by identifying critical competencies for individual employees, the work team, and the organization in the short and long term
- Discuss with employees their interests in training and developmental opportunities
- Consider the relative value in selecting for vs. training for competencies, recognizing that some competencies are more trainable than others
- Create an organizational culture that supports ongoing learning
- Ensure supervisors, managers and executives receive appropriate training

Actions to Avoid

- Funding training that lacks a clear link to individual and organizational development
- Reducing training as a cost-cutting measure (trading short-term gain for long-term pain)



MSP 8: Neutrality

“Employees should be—

(A) protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and

(B) prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.”

Purpose of MSP 8

- States that Federal employees cannot be treated arbitrarily, in contrast to an “at-will” system that permits termination without cause.
- Prevents personnel actions for reasons that are contrary to the public interest, such as firing a career employee to create a vacancy for a personal friend or political ally.
- Bars Federal employees from using their authority or office to influence nominations and elections, to promote and preserve a politically neutral career civil service.

A Closer Look: The Hatch Act

The prohibition of Subsection B of MSP 8 is enforced primarily through the 1939 Act to Prevent Pernicious Political Activity, as amended, which is more commonly known as the “Hatch Act.” The Hatch Act, which is enforced by the U.S. Office of Special Counsel, limits the political activities of Federal employees to protect them from political coercion and to prevent the politicization of the career civil service.

Actions to Take

- Demonstrate zero tolerance for partisan political coercion and discrimination
- Base personnel decisions on organizational needs and job requirements rather than personal preferences
- Carefully select and train supervisors and hold them accountable
- Practice transparency
- Seek and utilize the expertise of HR staff

Actions to Avoid

- Making decisions based on personal or political relationships rather than merit
- Using one’s position or authority to try to influence the outcome of an election



MSP 9: Public Interest

“Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences—

(A) a violation of any law, rule, or regulation, or

(B) mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.”

Purpose of MSP 9

- Establishes that Federal employees should be protected against reprisal when they disclose wrongful conduct.

A Closer Look: What is Whistleblowing?

Whistleblowing occurs when an employee has a reasonable belief of and makes a specific and detailed allegation of wrongdoing, such as a violation of law, rule or regulation, gross mismanagement, a gross waste of funds, an abuse of authority, or a “substantial and specific danger” to public health or safety.

Federal employees who blow the whistle serve both the Federal Government and the public interest by reporting wrongdoing that involves breaking laws, wasting money or endangering the well-being of others. Fear of reprisal has a chilling effect on employees’ willingness and ability to report wrongdoing and voice concerns.

Congress passed the Whistleblower Protection Act of 1989 (WPA) and the Whistleblower Protection Enhancement Act of 2012 (WPEA) to expand the circumstances under which a disclosure would constitute a protected activity. Additionally, the Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (No FEAR Act) requires agencies to notify employees annually about their rights under the antidiscrimination and whistleblower laws and to provide training every two years.

Actions to Take

- Protect employees against reprisal for whistleblowing
- Demonstrate zero tolerance for retaliation
- Carefully select and train supervisors and hold them accountable
- Practice transparency
- Seek and utilize the expertise of HR staff

Actions to Avoid

- Penalizing employees for exercising their rights
- Responding to problems in a way that discourages employees from voicing concerns



What More Can You Do to Support the MSPs?

Actions

- Learn more about the MSPs, PPPs and related laws.
- Ensure that employees (including HR staff) receive adequate training to fully understand the Merit System Principles and their requirements.
- Require that new supervisors are trained on the MSPs and PPPs as soon as they are selected.
- Institute refresher training for supervisors and managers on a regular basis (at least every three years) to reinforce expectations for merit-based decisions and address any changes in laws, regulations, or policies.
- Consult with HR staff or others with relevant expertise to identify and evaluate options to achieve the desired merit-based goals.
- Do not establish practices or request actions that violate MSPs or result in PPPs.
- Select subordinates who are committed to upholding the MSPs.
- Hold supervisors, managers and executives accountable for adhering to the MSPs and avoiding PPPs.
- Educate employees regarding their rights and responsibilities and ensure that they are aware of procedures for redress.

Additional Resources

- www.mspb.gov/studies - Includes over 100 MSPB reports, such as *The Merit System Principles: Guiding the Fair and Equitable Management of the Federal Workforce*; the *Issues of Merit* newsletter; and other resources.
- www.osc.gov – Provides an overview of the PPPs, copies of Congressional reports and testimonies, and other relevant information.
- www.eeoc.gov – Features information on the Federal EEO complaint process, relevant reports, and information on Federal discrimination laws.
- www.opm.gov – Provides information on HR policies for the Federal Government.
- www.hru.gov – Offers a course catalog and access to free webinars for Federal employees, including some specifically for supervisors and managers.



The Merit System Principles

Adapted from Title 5, United States Code, Section 2301(b).

1	Recruit a diverse pool of applicants. Hold fair and open competition. Select the best-qualified applicants.
2	Treat employees and applicants fairly and equitably. Respect employees' privacy and constitutional rights.
3	Pay employees fairly. Recognize and reward performance.
4	Hold employees to high standards. Put the public interest first.
5	Use the workforce efficiently and effectively.
6	Retain employees based on performance. Effectively address poor performance.
7	Provide employees with training and development.
8	Protect employees against arbitrary action, favoritism, and political coercion.
9	Protect employees against reprisal for whistleblowing or exercising a right.

The MSPB report *The Merit System Principles: Guiding the Fair and Effective Management of the Federal Workforce* (September 2016), available at www.mspb.gov/studies/browsestudies.htm, provides the full text of each MSP with an explanation of its intent, a discussion of Federal employee perceptions of adherence to the principle, related MSPB research findings and recommendations, and a brief discussion of illustrative MSPB cases.



The Prohibited Personnel Practices

Adapted from Title 5, United States Code, Section 2302(b).

An employee who may take, influence, or recommend a personnel action may not—

1	Discriminate on any protected basis, such as race, color, religion, sex, national origin, age, disability, marital status, or political affiliation.
2	Consider any reference or recommendation that is not directly related to the job to be performed.
3	Coerce political activity or base a personnel action on political activity or inactivity.
4	Obstruct any person's right to compete for employment.
5	Influence any person to withdraw from competition.
6	Grant any unauthorized preference to an employee or applicant.
7	Provide an advantage to a relative.
8	Take or influence a personnel action in reprisal for whistleblowing.
9	Take or influence a personnel action in reprisal for exercise of a right of complaint or appeal.
10	Discriminate on the basis of conduct that is not job-related.
11	Take or influence a personnel action that violates any veterans' preference requirement.
12	Take or influence a personnel action that violates any merit system principle.
13	Implement or enforce any improper nondisclosure policy or agreement.

Information on the PPPs and their enforcement is available on the website of the Office of Special Counsel, www.osc.gov.





U.S. Small Business
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Office of Inspector General (OIG)



Inspector General

Deputy Inspector
General

Counsel to the
Inspector General

Audits Division

Audit Operations

Credit Programs Group

Business Development
Programs Group

Financial Management
& IT Group

Investigations Division

Headquarters
Operations

Security Operations

Eastern Region
(ERO)

Central Region
(CRO)

Western Region
(WRO)

Management & Operations Division



Overview of the OIG

The Inspector General, a Presidentially-appointed and Senate-confirmed officer, keeps the SBA Administrator and the Congress fully informed of any problems, recommends corrective actions, and monitors progress in the implementation of such actions.

The two operating components of OIG are the Auditing Division and the Investigations Division. The Auditing and Investigations Divisions each administer their respective activities through field offices around the country. The Management and Policy and Counsel Divisions support both the Inspector General and the operating divisions by providing policy, planning, administrative, and legal services, respectively.

OIG Helps SBA Improve Program Management

Audits

OIG conducts financial and performance audits of internal Agency functions and of participants in SBA programs to promote the economical, efficient, and effective operation of SBA programs.

Audits give SBA managers an objective and systematic assessment of how well their offices are carrying out their SBA-related programs and operations. Financial audits examine the presentation of financial information, internal controls, and adherence to financial requirements. Performance audits assess operations in terms of economical use of resources.

Investigations

When an investigation finds a serious systemic deficiency in Agency procedures or practices of SBA personnel, OIG staff provide an advisory memorandum to the appropriate program officials setting forth the pertinent investigative findings and suggesting possible management actions or procedural changes to decrease or eliminate this vulnerability in the program.

Task Forces

OIG staff participate with SBA staff on Agency-wide task forces to address issues of concern to the Agency, the Congress, and the small business community.

Review of Laws and Regulations

OIG is mandated to review and evaluate legislation, regulations, standard operating procedures and other directives in terms of their impact on program economy and efficiency, or their prevention of fraud and abuse.

OIG Detects and Deters Fraud

Investigations

OIG investigates allegations of possible criminal violations and other wrongdoing. Most investigations are conducted in conjunction with a U.S. Attorney's Office. While the subject of an OIG investigation can be an SBA employee, the vast majority of the subjects are applicants for or participants in Agency programs.



Background Investigations/Name Check

OIG ensures that all Agency employees have the appropriate background investigations and security clearances for their duties. OIG's name check program provides SBA officials with character-eligibility information on loan applicants and other potential program participants.

Statutory Responsibilities

The Office of the Inspector General (OIG) is an independent and objective oversight office created within SBA by the Inspector General Act.

The Inspector General Act specifies that the OIG will:

- Promote economy, efficiency, and effectiveness in the management of SBA programs and supporting operations;
- Conduct and supervise audits, investigations, and reviews relating to the Agency's programs and support operations;
- Detect and prevent fraud and abuse;
- Review existing and proposed legislation and regulations and make appropriate recommendations;
- Maintain effective working relationships with other Federal, State and local governmental agencies, and non-governmental entities, regarding the mandated duties of the Inspector General;
- Keep the SBA Administrator and Congress informed of serious problems and recommend corrective actions and implementation measures;
- Comply with the audit standards of the Comptroller General;
- Avoid duplication of Government Accountability Office (GAO) activities; and
- Report violations of law to the U.S. Attorney General.

The OIG also has other significant statutory responsibilities. These include responsibilities under the Small Business Act and the Small Business Investment Act, as well as an increasing number of legislative mandates and government-wide directives.

Guiding Principles

In carrying out our statutory and other responsibilities, we:

- Deliver products and services of the highest quality, defined by their accuracy, timeliness, fairness, and usefulness to our customers;
- Maintain independent and objective oversight of SBA programs and operations;
- Promote open and honest communication among our staff and with our customers and stakeholders; and
- Encourage a positive work environment that emphasizes mutual respect, teamwork, creativity, personal growth, diversity, and productivity.



Make a Difference!

To promote integrity, economy, and efficiency, we encourage you to report instances of fraud, waste, or mismanagement to the OIG Hotline.*

ONLINE:

<https://www.sba.gov/oig/hotline>

CALL:

1.800.767.0385 (Toll Free)

EMAIL:

OIGHotline@sba.gov

WRITE OR VISIT:

U.S. Small Business Administration
Office of Inspector General
Investigations Division
409 Third Street, SW (5th Floor)
Washington, DC 20416

**In accordance with Sections 7 and 8L(b)(2)(B) of the Inspector General's Act, confidentiality of a complainant personally identifying information is mandatory, absent express consent by the complainant authorizing the release of such information.*



U.S. Small Business
Administration

webTA

----- WARNING -----

You are accessing a U.S. Government information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.

By using this information system, you understand and consent to the following:

* You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. At any time, the government may for any lawful government purpose monitor, intercept, search and seize any communication or data transiting or stored on this information system.

* Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.

* Your consent is final and irrevocable.

You may not rely on any statements or informal policies purporting to provide you with any expectation of privacy regarding communications on this system. For further information see the Department order on Use and Monitoring of Department Computers and Computer Systems.

For assistance with accessing this application, Authorized Agency Contacts (AACs) listed in Table Management System (TMGT) Table 063, Contact Type 04, should call the NFC Contact Center at 855-632-4468. If you are not an AAC please contact your Agency Servicing Personnel Office for assistance.

Items marked with an asterisk* are required.

* User ID:

* Password:

[Forgot User ID?](#) [Forgot Password?](#)

Employee Main Menu

Time	Messages
Timesheet	Send Message To Timekeeper
Timesheet Summary	Send Message To Supervisor
Processed Timesheets	
Leave Requests	Intermediate Approvals
Premium Pay Requests	Review Leave Requests
Leave Balances	Review Premium Pay Requests
Schedule	
Default Schedule	Accounting
	Accounts
Reports	Leave Transfer Program
Reports	Leave Donations
Continuation of Pay (COP)	Emergency Contacts
COP Events	My Contacts



Employee

[Employee Main Menu >](#)

[Inbox](#)

[Settings](#) [Help](#) [Log Out](#)

Timesheet

Unvalidated Validated Certified Sent ☐

Employee:
Pay Period:

12 - 2019 : Jun 09, 2019-Jun 22, 2019 * S

Timesheet Type: Regular
Status: Unvalidated

Hourly Timesheet

Transaction	Account	Sun 6/09	Mon 6/10	Tue 6/11	Wed 6/12	Thu 6/13	Fri 6/14	Sat 6/15	Wk1	Sun 6/16	Mon 6/17	Tue 6/18	Wed 6/19	Thu 6/20	Fri 6/21	Sat 6/22	Wk2	Total
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Work Time

<input checked="" type="checkbox"/> 01 - Regular Base Pay	(NFC Stored Accounting)		8:00		8:00	8:00	8:00		32:00		8:00		8:00	8:00	8:00		32:00	64:00
<input checked="" type="checkbox"/> 01 - Telework Home - Routine	(NFC Stored Accounting)			8:00					8:00			8:00					8:00	16:00
	Work Time Total		8:00	8:00	8:00	8:00	8:00		40:00		8:00	8:00	8:00	8:00	8:00		40:00	80:00

Leave Time

<input type="checkbox"/>	Leave Time Total																	
	Daily Total		8:00	8:00	8:00	8:00	8:00		40:00		8:00	8:00	8:00	8:00	8:00		40:00	80:00

Dollar Transactions

<input type="checkbox"/>	Daily Total																	
--------------------------	-------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Schedule Totals Remarks (0) Leave Balances

Su 06/09	M 06/10	T 06/11	W 06/12	Th 06/13	F 06/14	Sa 06/15	Su 06/16	M 06/17	T 06/18	W 06/19	Th 06/20	F 06/21	Sa 06/22
	8:00	8:00	8:00	8:00	8:00			8:00	8:00	8:00	8:00	8:00	
	8:00	8:00	8:00	8:00	8:00			8:00	8:00	8:00	8:00	8:00	

Action Remarks:

Characters Remaining: 255

Timesheet Summary

Employee: 12 - 2019 June 9-22, 2019

Timesheet Type: Regular
Status: Unvalidated

Transaction	Account	Sun 6/9	Mon 6/10	Tue 6/11	Wed 6/12	Thu 6/13	Fri 6/14	Sat 6/15	Wk1	Sun 6/16	Mon 6/17	Tue 6/18	Wed 6/19	Thu 6/20	Fri 6/21	Sat 6/22	Wk2	Total
Work Time																		
01 - Regular Base Pay	(NFC Stored Accounting)		8:00		8:00	8:00	8:00		32:00		8:00		8:00	8:00	8:00		32:00	64:00
01 - Telework Home - Routine	(NFC Stored Accounting)			8:00		8:00	8:00		8:00		8:00		8:00	8:00	8:00		8:00	16:00
Work Time Total			8:00	8:00	8:00	8:00	8:00		40:00		8:00	8:00	8:00	8:00	8:00		40:00	80:00
Leave Time																		
Leave Time Total																		
Daily Total			8:00	8:00	8:00	8:00	8:00		40:00		8:00	8:00	8:00	8:00	8:00		40:00	80:00

Dollar Transactions

Daily Total																		
Schedule Week																		
Su 06/09	M 06/10	T 06/11	W 06/12	Th 06/13	F 06/14	Sa 06/15	Su 06/16	M 06/17	T 06/18	W 06/19	Th 06/20	F 06/21	Sa 06/22					
	8:00	8:00	8:00	8:00	8:00			8:00	8:00	8:00	8:00	8:00						
	8:00	8:00	8:00	8:00	8:00			8:00	8:00	8:00	8:00	8:00						

Week One Hours:										Transaction Totals									
Week Two Hours:										Amount									
Total Hours:																			
Time In Pay:																			
Other Time:																			
Dollar Transactions:																			
Days In Pay:																			

Pay Period Remarks																		

Timesheet Entry Remarks				
Date	Entry	Name, UserID, Date/Time	Role	Daily Remark

Leave Requests

Date	Times	Hours	Transaction	Status	Approver	Approved Date
No leave requests found for this pay period						

Premium Pay Requests

Date	Times	Hours	Transaction	Status	Approver	Approved Date
No premium pay requests found for this pay period						

Accrual Leave Balances

Leave Type	Forward	Adj Forward	Accrued	Used	Adjustments	Expired	Capped	Balance	EOY Balance	Use or Lose
Annual Leave	236:00	236:00	8:00	0:00	0:00	0:00	0:00	242:00	330:00	90:00
Sick Leave	209:30	209:30	4:00	0:00	0:00	0:00	0:00	213:30	269:30	0:00

Tracking Leave Balances

Leave Type	Forward	Used	Adjustments	Used To Date
Other Leave	74:00	0:00	0:00	74:00

Timesheet Profile

Status Change Type: None	Leave Ceiling Override:
Status Change Day: None	Leave Category Override: Six hours per pay period
Oath of Office: F	Home Leave Computation Date:
Final Report: F	Home Leave Category: None
On Hold: F	Home Leave End Date:
Payplan: General Schedule (reg)	State Code: District of Columbia
Tour of duty: Full Time	Agency: SBA
Work Week: Mon - Fri	Town: 0010
Duty Hours: 80.0	New Contact Point: F
Alternative Work Schedule: Regular 8-hour Days	Unit: 10
RSO / Salary Cap: None	Timekeeper: 08
Standby Hours Week 1:	Account : 01522552200 (No Description)
Standby Hours Week 2:	Accounting Type: Stored Account
Standby AUO Percent:	Vol. Leave Recipient: No
Military Emergency Leave Flag: F	Eme. Leave Recipient: No
Military Regular Leave Flag: F	Personal Leave Ceiling: 240:00
Service Computation Date: 09/05/2008	Actual Leave Accrual Rate: 6 Hours/PP (Ovr.)

Activity Log

Action	Resulting State	Date	Name	Message
Save	Timesheet Saved	06/09/2019 12:06 AM MDT	SYSTEM	

Cancel



Employee

Inbox [334] Settings Help Log Out

[Employee Main Menu >](#)

Leave Balances for

Balances for pay period: 12 - 2019 : Jun 09, 2019 - Jun 22, 2019 *

Select Pay Period

Accrual Leave Balances

Leave Type	Forward	Adj Forward	Accrued	Used	Expired	Adjustments	Capped	Balance	EOY Balance	EOY Use or Lose
Annual Leave	236:00	236:00	6:00	0:00	0:00	0:00	0:00	242:00	330:00	90:00
Sick Leave	209:30	209:30	4:00	0:00	0:00	0:00	0:00	213:30	269:30	0:00
Credit Hours	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Compensatory Time	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Compensatory Travel	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Compensatory Time Religious	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Shore Leave (Days)	0	0	0	0	0	0	0	0	0	0
Home Leave (Days)	0	0	0	0	0	0	0	0	0	0
Restored Annual Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Time Off Award	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Military Regular Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Military Emergency Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Deferred Annual Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Deferred Sick Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
Disabled Veteran Leave	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00	0:00
COP Occurrence 1 (Days)	0	0	0	0	0	0	0	0	0	0
COP Occurrence 2 (Days)	0	0	0	0	0	0	0	0	0	0
COP Occurrence 3 (Days)	0	0	0	0	0	0	0	0	0	0

Tracking Leave Balances

Leave Type	Forward	Used	Adjustments	Used To Date
LWOP	0:00	0:00	0:00	0:00
AWOL	0:00	0:00	0:00	0:00
Suspension	0:00	0:00	0:00	0:00
Furlough	0:00	0:00	0:00	0:00
Family Friendly Sick Leave	0:00	0:00	0:00	0:00
Family Friendly Sick Leave Serious	0:00	0:00	0:00	0:00
FMLA	0:00	0:00	0:00	0:00
FMLA Military	0:00	0:00	0:00	0:00
Other Leave	74:00	0:00	0:00	74:00
VLTP Used	0:00	0:00	0:00	0:00
ELTP Used	0:00	0:00	0:00	0:00
Non-Pay For Accrual Leave	0:00	0:00	0:00	0:00

Cancel

Pending Approved Denied

Leave Request Form

Items marked with an asterisk* are required

Leave Type and Dates

Employee:

* Leave Type:

Transaction Leave Balance: NA

* Start Date		* End Date	All Day	Start Time	Stop Time	Meal Time	Daily Hours	Total Hours	Action
Month	Day	Year	<input type="checkbox"/>						<input type="button" value="Delete"/>

Remarks

Submitter

Remarks:

Approver

Comments:

Intermediate Approvers

Sick Leave Purpose

If you are requesting sick leave, you must indicate the reason.

- ☒ None
☐ Illness/Injury/Incapacitation of requesting employee
☐ Medical/Dental/Optical examination of requesting employee
☐ Care of family member, including medical/dental/optical examination of family member, or bereavement
☐ Care of family member with a serious health condition
☐ Other (Provide the reason in Remarks)

Family and Medical Leave Act

Family and Medical Leave Act

Contact your supervisor and/or your personnel office to obtain additional information about your entitlements and responsibilities under the FMLA. Medical certification of a serious health condition may be required by your agency. If annual, sick, or leave without pay will be used under the Family and Medical Leave Act of 1993 (FMLA), indicate what it will be used for.

☐ I hereby invoke my entitlement to Family and Medical Leave for:

- ☒ None
☐ Birth/Adoption/Foster Care
☐ Family Military Leave
☐ Serious Health Condition of Self
☐ Serious Health Condition of Spouse, Child, or Parent

Certification

I certify that the leave/absence requested above is for the purpose(s) indicated. I understand that I must comply with my employing agency's procedures for requesting leave/approved absence (and provide additional documentation, including medical certification, if required) and that falsification of information on this form may be grounds for disciplinary action, including removal.

Privacy Act

Section 6311 of title 5, United States Code, authorizes collection of this information. The primary use of this information is by management and your payroll office to approve and record your use of leave. Additional disclosures of the information may be: To the Department of Labor when processing a claim for compensation regarding a job connected injury or illness; to a State unemployment compensation office regarding a claim; to Federal Life Insurance or Health Benefits carriers regarding a claim; to a Federal, State, or local law enforcement agency when your agency becomes aware of a violation or possible violation of civil or criminal law; to a Federal agency when conducting an investigation for employment or security reasons; to the Office of Personnel Management or the General Accounting Office when the information is required for evaluation of leave administration; or the General Services Administration in connection with its responsibilities for records management.

Public Law 104-134 (April 26, 1996) requires that any person doing business with the Federal Government furnish a social security number or tax identification number. This is an amendment to title 31, Section 7701. Furnishing the social security number, as well as other data, is voluntary, but failure to do so may delay or prevent action on the application. If your agency uses the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.



U.S. Small Business
Administration

eOPF



Official Personnel Folder

The Official Personnel Folder (Standard Form 66) is a file containing records for an individual's federal employment career. Employees with OPFs are those in the Executive Branch service, as listed in Title V of the United States Code and some federal employees not under Title V. The long-term records in the file are included to protect the legal and financial rights of the government and the employee. The OPF is part of the government-wide system of records, OPM/GOVT-1.

What goes in my Official Personnel Folder?

Your Official Personnel Folder contains records the Government needs to make accurate employment decisions throughout your Federal career.

These documents:

- Show your Federal appointment was valid (Examples: the Appointment Affidavit; the Declaration for Federal Employment).
- Verify your military service credit for leave, reduction-in-force, or retirement (Examples: the DD 214, Certificate of Release or Discharge from Active Duty; the Military Service Deposit Election).
- Establish your employment history - your grades, occupations and pay (Example: the Standard Form 50, Notification of Personnel Action).
- Record your choices under Federal benefits programs (Examples: the Health Benefits Registration Form; the Designation of Beneficiary under the Federal Employees' Group Life Insurance Program).

What is the electronic Official Personnel Folder (eOPF)?

The eOPF is an electronic version of the paper OPF and a system for accessing the electronic folder online. The eOPF system combines document management with workflow capabilities. The eOPF allows each employee to have an electronic personnel folder instead of a paper folder.

Benefits of eOPF include:

- Immediate access to personnel forms and information for a geographically dispersed workforce.
- E-mail notification to employee when documents are added to their eOPF.
- Multi-level secure environment with security rules for sensitive information.
- No loss of official personnel documents due to filing and routing errors.
- Reduced costs associated with storage, maintenance, and retrieval of records.
- Electronic transfer of human resources (HR) data.
- Integration with agency's human resources information systems (HRIS).
- Compliance with OPM and federally mandated HR employee record management regulations.



U.S. Small Business
Administration

Office of the Chief Information Officer

SBA Cyber Security

Introduction

Christopher Lee

Information Assurance Analyst

Email: Christopher.lee@sba.gov

Contents

- Office of Chief Information Officer
- Computer Security Awareness Training
- Annual Security Awareness Training
- Information Security Awareness
- Malicious Email
- Social Engineering
- Mobile device
- Best Practice
- Things to Avoid
- IT Security Contacts

Office Of Chief Information Officer

- **MISSION:** To foster an environment in which information and technology are used to support and enhance business decisions and Agency operations
- **LOCATION:** The main offices of Office of the Chief Information Officer (OCIO) are located on the fourth floor of the SBA headquarters building in Washington, DC
- **STAFF:** The OCIO has full-time employees in HQ with field information technology specialists (FITS) located throughout SBA's ten Regions. The FITS support the technology needs of SBA's field offices and processing centers while the IT Service Center supports the needs of HQ customers
- **CONTACT INFORMATION (Service Center):**
Telephone: 855-620-4780 (24 x 7 IT Service Center)
Walk up hours: 7:00am – 6:00pm **Monday – Friday**
E-mail: ITSC@sba.gov

Computer Security Awareness Training (CSAT)

- CSAT training is designed to inform all SBA end-users of acceptable computer security practices and make them aware of their computer security responsibilities
- Training is required for all SBA employees and contractors who access the SBA network
- New users must complete CSAT training shortly upon receiving access to the network
- CSAT training is will be emailed to you
- Failure to complete this mandatory training within the required timeframe may result in disciplinary action in accordance with:
 - SOP 90 47 (as revised), Information System Security Program
 - SOP 37 52 2, Discipline and Adverse Actions
- For support contact CSAT@sba.gov

Annual CSAT

- The Federal Information Security Modernization Act (FISMA) of 2014 mandates Federal agencies to provide annual Computer Security Awareness Training (CSAT) to all employees and contractors
- All Federal employees and Contractors will be required to complete the Computer Security Awareness Training annually
- For support contact CSAT@SBA.GOV

Information Security Awareness

The security of systems is dependent on the people that use them. Employees are being exposed to more dangerous and well thought out attacks. End users need to be aware of these threats and know how they can protect themselves and the organization against them.

SBA IT Security Program

The SBA IT Security Program operates to ensure the protection of all SBA's information and information systems. SBA has instituted a number of technical and operational mechanisms to ensure that agency information, both in paper and electronic form, are safeguarded appropriately.

Malicious Emails

- **Phishing Email** - These types of messages will try to entice you into taking an action, such as clicking on a malicious link, opening an infected attachment, or responding to a scam. If received, forward these to spam@sba.gov
- **Spear Phishing** - A targeted form of phishing in which fraudulent emails target specific organizations to gain access to confidential information.
- **Links/attachments** - Unknown links and attachments may infects your computer with malware, virus and spyware.
- **Spam** – If received, forward these to spam@sba.gov
- **When in doubt, contact IT Service Center**
- **Email:** ITSC@sba.gov **Phone:** (855) 620-4780

Social Engineering

- This is a non-technical strategy cyber attackers use that relies heavily on human interaction and often involves tricking people into breaking standard security practices. The success of social engineering techniques depends on attackers' ability to manipulate victims into performing certain actions or providing confidential information.
 - **Tailgating** – Unauthorized individuals follow authorized individuals into an otherwise secure location.
 - **Pretexting** – when an attacker fabricates false circumstances to compel a victim into providing access to sensitive data or protected systems.
 - **Quid Pro Quo** – Attackers request private information from someone in exchange for something desirable or some type of compensation.

Mobile Device

- Keep security software current on all devices
- Secure your devices with strong passwords/ passphrases
- Public WIFI and hotspots are not secure connections
- Disable WIFI and Bluetooth when not in use
- When in doubt, don't respond

Traveling

- Under no circumstances should SBA-issued equipment (i.e., cell phones, laptops, etc.) be brought on foreign travel, if the travel is for personal reasons.
- When taking any SBA issued equipment (i.e., cell phone, laptop, etc.) on foreign travel, you must coordinate with IT Security to have the equipment scanned and cleared prior to departure and immediately upon return.

Lost/ Stolen

- Immediately contact SBA IT Service Center if your mobile devices has been lost or stolen.
- **Email:** ITSC@sba.gov **Phone:** (855) 620-4780

Best Practices

1. Read *Appropriate Use of Automated Information Systems*, *Acceptable Use Policy*, and *SBA Rules of Behavior*
2. Visit the SBA Employee Gateway for information updates
3. Always call the IT Service Center first with questions or IT service requests
 - Realize that the status of IT service requests can be tracked
4. Take advantage of OCIO's IT training
5. Always lock your workstation when leaving the immediate area of your desk

Things to Avoid

1. Abusing the “acceptable use” policy
2. Streaming videos or music from external web sites
3. Purchasing or installing non-standard hardware or software without CIO approval
4. Opening email attachment from people you do not know
5. Forwarding SBA e-mails to personal accounts (such as gmail, yahoo, hotmail etc.)
6. Disclosing or sharing PII information without due process and approval

IT Security Contacts

Title	Name	Email
Chief Information Officer (CIO)	Maria A. Roat	Maria.Roat@sba.gov
Chief Information Security Officer (CISO)	Harris, Jeffrey	Jeffrey.Harris@sba.gov
Policy and Compliance Branch Chief	David B. Trzcinski	David.Trzcinski@sba.gov

Report ALL IT Security Concerns Promptly!

IT Service Center	855-620-4780	ITSC@sba.gov
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U.S. Small Business
Administration

Ethics

2020

ETHICS BRIEFING

SBA ETHICS OFFICIALS

Jamie Cantlon

(202) 619-1604

Designated Agency Ethics Official

Lisa Lopez-Suarez

(202) 205-8570

Alternate Designated Agency Ethics Official

Marilyn McIntyre-Barnes

(202) 205-6639

Government Ethics Specialist

Bailey Dowling

(202) 205-7420

Ethics Attorney

All Area, District and Center Counsel are also ethics officials

SBA's INITIAL ETHICS TRAINING

5 CFR 2638.304

The Ethics in Government Act requires each agency employee to complete initial ethics training within 90 days of their appointment. Under the ethics regulations, it is your responsibility to know and comply with the ethics rules. Observing high ethical standards is essential to achieve SBA's mission and promote public confidence in the integrity of our programs and our employees.

To help facilitate your understanding of applicable ethics rules and regulations, SBA provides a web-based initial ethics training module which is accessed via the Agency's Talent Management System. You are entitled to one hour of official duty time complete the training. If you have questions, please feel free to contact your ethics official.

THE 14 GENERAL PRINCIPLES OF ETHICAL CONDUCT 5 CFR 2635.101(B)

- 1) **Public service is a public trust**, requiring employees to place loyalty to the constitution, the laws and ethical principles above private gain.
- 2) **Employees shall not** hold financial interests that conflict with the conscientious performance of duty.
- 3) **Employees shall not** engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest.
- 4) **An employee shall not**, except as permitted by subpart B of this part, solicit or accept any gift or other item of monetary value from any person or entity seeking official action from, doing business with, or conducting activities regulated by the employee's agency, or whose interests may be substantially affected by the performance or nonperformance of the employee's duties.
- 5) **Employees shall** put forth honest effort in the performance of their duties.
- 6) **Employees shall not** knowingly make unauthorized commitments or promises of any kind purporting to bind the Government.
- 7) **Employees shall not** use public office for private gain.
- 8) **Employees shall** act impartially and not give preferential treatment to any private organization or individual.
- 9) **Employees shall** protect and conserve federal property and shall not use it for other than authorized activities.
- 10) **Employees shall not** engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities.
- 11) **Employees shall** disclose waste, fraud, abuse, and corruption to appropriate authorities.
- 12) **Employees shall** satisfy in good faith their obligations as citizens, including all just financial obligations, especially those—such as Federal, State, or local taxes—that are imposed by law.
- 13) **Employees shall** adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age or handicap.
- 14) **Employees shall** endeavor to avoid any actions creating the appearance that they are violating the law or the ethical standards developed from Executive Orders 12674 and 12731. Whether particular circumstances create an appearance that the law or these standards have been violated shall be determined from the perspective of a reasonable person with knowledge of the relevant facts.

THE STANDARDS OF ETHICAL CONDUCT 5 CFR PART 2635 SUBPARTS B-H

EMPLOYEES MUST NOT . .

B – Gifts from Outside Sources

Solicit or accept any gift from a prohibited source or given because of the employee's official position, unless the item is excluded from the definition of a gift or falls within one of the exceptions set forth in this subpart.

C – Gifts Between Employees

Give, donate to, or solicit contributions for a gift to an official superior nor accept a gift from an employee receiving less pay than himself, unless the item is excluded from the definition of a gift or falls within one of the exceptions set forth in this subpart.

D – Conflicting Financial Interests

Participate in an official capacity in any particular matter in which, to his knowledge, he or any person whose interests are imputed to him has a financial interest, if the particular matter will have a direct and predictable effect on that interest. Or, acquire or continue to hold specific agency designated financial interests.

E – Impartiality in Performing Official Duties

Act on a matter if a reasonable person who knew the circumstances of the situation could legitimately question their fairness.

F – Seeking Other Employment

Participate personally and substantially in any particular matter that will have a direct and predictable effect on the financial interests of a person with whom he is seeking employment, negotiating or has any arrangement concerning prospective employment.

G – Misuse of Position

Use their government time, authority or government information and resources for their own personal gain or for the benefit of others.

This subpart sets forth standards relating to:

- (a) Use of public office for private gain;
- (b) Use of nonpublic information;
- (c) Use of Government property; and
- (d) Use of official time.

H – Outside Activities

Engage in outside employment or any outside activity if it conflicts with their government jobs.

THE CRIMINAL STATUTES

18 U.S.C. § 201

Prohibits public officials from seeking, receiving or agreeing to accept anything of value for themselves or others in return for being influenced in an official act; being influenced to aid in the commission of a fraud on the United States; or being induced to do or omit any act in violation of official duty.

18 U.S.C. § 203

Bars employees from seeking or accepting compensation for representing another before the executive branch or the courts or receiving money for anyone else's representation.

18 U.S.C. § 205

Bars employees from representing another before the executive branch or the courts in situations where the employee does not receive any compensation.

18 U.S.C. § 207

Places certain restrictions on a former employee; matters in which they worked while a Government employee, and representations back to the U.S. Government.

18 U.S.C. § 208

Bars an employee, including a Special Government Employee, from participating personally and substantially in an official capacity in any particular Government matter that would have a direct and predictable effect on his own or his imputed financial interests.

18 U.S.C. § 209

Prohibits employees from receiving any salary or contribution to or supplementation of salary from any source other than the United States as compensation for services as a Government employee.



U.S. Small Business
Administration

Records Management



February 26, 2019

Federal Records: Types and Treatments

The Federal Records Act

The Federal Records Act (FRA; 44 U.S.C. Chapters 21, 29, 31, and 33), enacted in 1950 and amended since, governs the collection, retention, and preservation of federal agency records. Congress deemed federal records worthy of preservation for the information they provide on the transaction of public business and also because they document the “organization, functions, policies, decisions, procedures, and essential transactions” of the government (44 U.S.C. §3301). The FRA also governs how federal records are to be destroyed or provided to the National Archives and Records Administration (NARA) for “permanent” archiving within the National Archives of the United States.

What Is a Federal Record?

The FRA provides a definition of *federal records* in order to determine whether particular recorded information should be retained and managed.

Key Terms: Federal Record

44 U.S.C. §3301

(a) Records Defined.—

(1) In general.—As used in this chapter, the term “records”—

(A) includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and

(B) does not include—

(i) library and museum material made or acquired and preserved solely for reference or exhibition purposes; or

(ii) duplicate copies of records preserved only for convenience.

Prior to the adoption of the Presidential and Federal Records Act Amendments of 2014 (P.L. 113-187), the statutory definition of *federal record* included references to certain types of materials or platforms on which records could be created or captured, such as “books, papers, photographs,” and “machine-readable formats.” According to the accompanying Senate report, the act amended the definition of *federal record* to include the phrase *regardless of form or characteristics* in order to “shift the emphasis away from the physical media used to store information to the actual information being stored.”

Additionally, the Archivist of the United States (the head of NARA) has stated that the system used to create the record should not affect an agency’s determination as to whether

information qualifies as a record and that the content of the information is the primary determinant. For example, when federal employees use personal email to conduct official business, the communication is considered a federal record. Likewise, materials created or maintained for the government by a contractor may be considered a federal record if the material provides information on the agency’s transaction of public business.

What Is Not a Federal Record?

Incorporating the statutory definitions of non-record materials, NARA’s guidance (36 C.F.R. §1220.18) similarly suggests that *non-record materials* would include copies of information “kept only for reference” and “museum materials intended solely for reference or exhibit.” In cases where there is disagreement over whether particular recorded information constitutes a federal record, P.L. 113-187 expressly empowers the Archivist to determine “whether recorded information, regardless of whether it exists in physical, digital, or electronic form, is a record” for purposes of the FRA and states that this determination “shall be binding on all Federal agencies.” NARA’s regulations also state that non-records are to be “physically segregated from records” or “readily identified and segregable from records” and “purged when no longer needed for reference.”

Presidential Records and Their Treatment

Presidential records are separate from federal records. However, they are administered similarly by NARA. The Presidential Records Act (PRA; 44 U.S.C. §§2201-2209) governs the collection and retention of records created or received by the President, immediate presidential staff, and certain units or individuals within the Executive Office of the President. Presidential records include, among other types of information, documentary materials relating to certain political activities or information that relates to the constitutional, statutory, or other official or ceremonial duties of the President. The PRA also codifies public access to presidential records.

Under Chapter 22 of Title 44 of the U.S. Code, upon leaving office, an outgoing President may restrict access to specific categories of presidential records for up to 12 years. Certain presidential records may be excepted from public access indefinitely if they qualify under any of six criteria delineated in 44 U.S.C. Section 2204, including materials related to appointments and confidential communications requesting or submitting advice to the President or the President’s advisors, among other possible restrictions.

According to NARA, “while only a small percentage of agency records are permanent, all presidential records are

considered permanent, unless the President obtains the written views of the Archivist to dispose of particular records—e.g., public mail and routine administrative files.”

Temporary vs. Permanent Records

Once recorded information is determined to be a federal record, agencies must then work with NARA to determine whether it is a **permanent record**, which means it has permanent value and should be maintained in perpetuity by the federal government, or if it is a **temporary record**, which means the document may be destroyed after a period of time.

More specifically, permanent records are those for which the disposition is deemed permanent on NARA’s standardized records management form (SF 115). Only permanent records (which include some federal records and all presidential records) may be transferred to the National Archives. According to NARA, “less than 5 percent of the mountain of documents created by agencies every year comes to the Archives,” with the remainder being considered temporary records.

The FRA does not use the term temporary record but provides NARA the authority to empower an agency to destroy certain records that do not “have sufficient administrative, legal, research, or other value to warrant their continued preservation by the Government.” NARA’s regulation (36 C.F.R. §1220.18), however, defines **temporary record** to mean any federal record that has been determined by the Archivist to have insufficient value (on the basis of current standards) to warrant its preservation by NARA.

What Is a Records Schedule?

A **records schedule** is created by agencies in consultation with NARA and sets a timeline for the eventual disposition of temporary records or transfer of permanent records to NARA.

A records schedule can be any of the following:

- a standardized form (SF 115) that has been approved by NARA to authorize the disposition of federal records (i.e., disposition authority);
- a General Records Schedule (GRS) issued by NARA, which authorizes, after specified periods of time, the destruction of temporary records or the transfer of permanent records to the Archives that are common to several or all agencies; or
- a published agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more standardized forms or issued by NARA in the GRS.

How Do Agencies Create Records Schedules?

All federal records must be covered by a NARA-approved records schedule or a GRS.

The records schedule should include a description of each type or series of records and note whether the records are temporary (to be discarded by the federal government) or permanent (to be permanently retained by NARA). For permanent records, the schedule includes the date the record would be transferred to NARA.

Records schedules must be cleared by internal agency stakeholders, the Government Accountability Office when required by 43 C.F.R. Section 1225.20(a), and by NARA. Disposition instructions approved by NARA are mandatory (44 U.S.C. §3314). In addition, according to 44 U.S.C. Section 3303a(a), NARA must publish a notice of agency requests for the disposal of records in the *Federal Register*. If NARA has previously approved a request to dispose of the records covered in an agency request, a notice is published only if the proposed retention period is shorter. The publication of these notices allows interested persons to submit written comments on the records to NARA before disposal is approved or reapproved with a shorter retention period.

What Procedures Address Unlawful Removal or Destruction of Federal Records?

Per the FRA, the head of each agency is to establish safeguards against the removal or loss of records and to inform employees of the penalties of unlawful removal or destruction of records. Under 44 U.S.C. Section 3106, if any agency head learns of any “actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or destruction of records in the custody of the agency,” he or she—with the assistance of the Archivist—is to notify the Attorney General to initiate an investigation and any necessary recovery efforts.

If any agency head does not notify the Archivist of an allegation or instance of unlawful removal, the FRA authorizes the Archivist to initiate action with the Attorney General for the possible recovery of such records. The FRA also requires the Archivist to notify Congress of instances in which he or she must initiate such action with the Attorney General. The Archivist may not independently initiate action without the Attorney General.

Anyone found guilty of “willfully and unlawfully” concealing, removing, mutilating, obliterating, destroying, or attempting to do any such action against a federal record can be fined and imprisoned for up to three years (18 U.S.C. §2071). In addition to fines and possible imprisonment, anyone holding federal office who is convicted of this crime can lose his or her position and be disqualified from holding federal office in the future.

Meghan M. Stuessy, Analyst in Government Organization and Management

IF11119



U.S. Small Business
Administration

Office of Personnel Security (OPS)

FAQ Sheet

Office of Personnel Security (OPS) FAQ Sheet

PIVCards(Whentocontactus)

☒ **(SBA Employees& Contractoronly! (ODA and OIG must contact their HROffice)**

- If your card is lost/damaged/stolen - please contact PIV@sba.gov
- UPN/Email information is incorrect contact – suitability@sba.gov
- Name Change (need WAD/HR to submit to us via suitability@sba.gov with a new 1228 and SF52/50 showing action was processed properly
- Obtain a PIV card status – contact suitability@sba.gov
- Sponsor/Enrollment issues – contact suitability@sba.gov

☒ **New Hire/Applicant/Contractor/Employee(Whento contact us)**

- If you having trouble with eQip – suitability@sba.gov
- Having PIV enrollment issues – suitability@sba.gov
- Background Investigations/Reinvestigations – email suitability@sba.gov

☒ **Employees(Whento contact us)**

- **Reporting foreign travel(personal/official) All personnel must report**
- Separating/Retiring/Leaving SBA/Returning Official Passports
- If you need a clearance or security verification request–contact suitability@sba.gov and cc joseph.eitel@sba.gov and robin.campbell@sba.gov
- External HR/Security Office requiring security information for an employee can also be submitted to suitability@sba.gov and cc joseph.eitel@sba.gov and robin.campbell@sba.gov for processing

☒ **HR or Program Office/COR (When to contact us)**

- Status of 1228 or pre-screen processing – Suitability@sba.gov
- Assistance with using the OPM PDRTTool – Agency PERSEC Officer
- Security Clearance requests – Suitability@sba.gov
- Guidance on Personnel Security and Suitability – Agency PERSEC Officer
- Request security training – Agency PERSEC Officer
- Contractor Clearance Requests (SBA Only) contractorsuitability@sba.gov

☒ **All ODA Employee and Contractor requests must be sent to the ODA Security Inbox. ODAsuitability@sba.gov**

☒ **OIG processes their own employees/contractors internally**

Office of Personnel Security (OPS) FAQ Sheet

Foreign Travel - send your foreign travel information to the suitability inbox - you must tell us the following:

1. Start and end dates of travel
2. Where you are traveling
3. Stateside emergency contact
(name, address, phone number and relationship to you)
4. Government or Personal Travel
5. Location (City(ies)/Country)

**** Calls from Investigators ****

They will call you to set up an interview for your background investigation. If you are unsure and need verification that they are legitimate please contact suitability inbox via email. You are required to complete your Personal Subject Interview for your Background Investigation to maintain Federal Employment.

Office of Personnel Security (OPS) Contacts:

Robin Campbell – Agency Personnel Security Officer, Lead Personnel Security Specialist

Office - 202-205-6167

Mobile – 202-423-8371

Robin.campbell@sba.gov

Joseph Eitel – Director, Supervisory Personnel Security Specialist

Office - (303) 844-7750

Mobile – 303-489-3787

Joseph.eitel@sba.gov

- Suitability Inbox – suitability@sba.gov
- Contractor Inbox – contractorsuitability@sba.gov
- All ODA actions including contractors should be sent to:
odasuitability@sba.gov



U.S. Small Business
Administration

eTransit



E-TRANSIT

Before starting the process, please be sure you are aware the monthly maximum allowance between any combination of mode of transportation is \$265.00. Also please be sure to note the deadline for the WMATA or DC Metrorail and Metrobus is the 10th of the month in which you apply. If you make any changes to your account after the 10th of the month, those changes will not take effect until the following month's cycle of benefits which will be essentially a full 30 days before the change can be administered and applied to the customer's account. If you are interested in riding the Washington D.C. Metro please obtain and register a SmarTrip card in your name, if you do not already have a registered card. Please be sure the card is registered in your name and your name only or you will not be able to sign up for Transit Benefits. This is a two-part process. First if your card is not registered please visit the link below to create an account with WMATA, which will allow you to register your card at the same time. After you complete your card registration you can move forward to the E-Transit system to complete the whole process. Please be aware that the total registration process for a new transit benefit participant is a two-part process if you don't have a registered metro card.

If your card is not registered please go here to [create an account](#). A SmarTrip account is necessary in order to track the activity on your card as well as identify your card if lost or stolen.

Where can I buy a SmarTrip® card?

You can purchase SmarTrip® cards [online](#), by mail, at select CVS/pharmacy and Giant Food stores in the region that display the SmarTrip® sign, Metro Sales Offices, SmarTrip® dispensers at Metrorail stations, and regional transit stores. [Click here](#) for a list of sales locations.

After obtaining and registering a SmarTrip card please access the [E-Transit link](#).

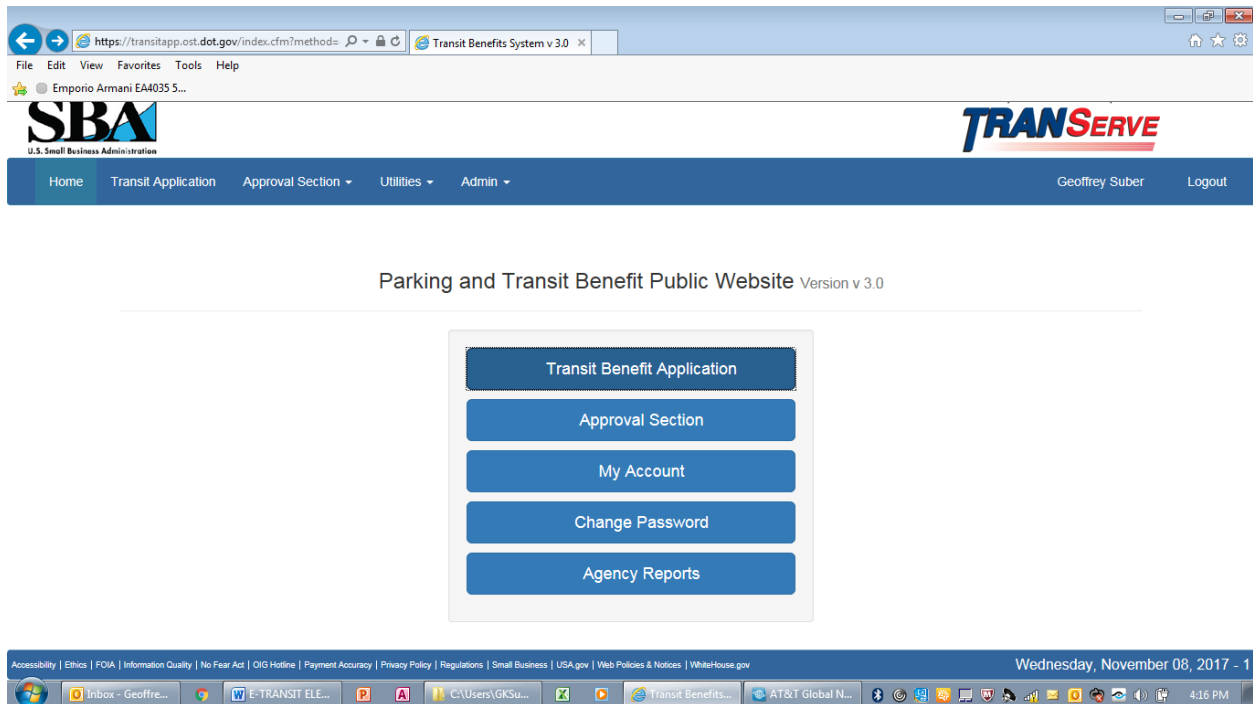
Once you've arrived please [Register](#) before attempting to access the system and complete your application.

If you are not riding the Washington DC Metrorail or bus, you will apply for the mode of transportation that applies to your commute through the [E-Transit link](#).

https://transitapp.ost.dot.gov/index.cfm?method=passport.regist

Once you've arrived at the screenshot above please click the **NOT REGISTERED YET BUTTON**. In order to apply for any type of benefit through the E-transit portal, you must register with the E-transit system first. Please be mindful of the password you create in case you have to make a change in the future. In order to purchase the media for any mode of transportation other than Metrobus or Metrorail, customers will receive a Transit Debit Card after applying for their specific mode of transportation 1 and a half to 2 weeks after their application has been approved. An email notification will be sent once the application is approved. The Transit Debit Card card will fund every 10th of the month for the following month's benefit. Please do not be confused and use the benefit for the month you are currently in due to the billing cycle for MetaBank the third party vendor for our Transit Debit cards being one month in advance for all transactions associated with the card. Any unused funds will be wiped from the card on the following month that the funds are received on the 9th. (Ask Questions Please)

Once you've logged in please select the action labeled Transit Benefit Application.



If you are brand new to the E-Transit Application your reason for applying after you select Transit Benefit Application will be New Transit Benefit Participant. While applying please be sure to identify the name of the company that provides your ride to and from work. ***Please do not put SBA or Small Business Administration in the mode of transportation box when applying or your application will be denied. Put the name of the company that is providing your ride.***

If you have any questions comments or concerns please feel free to reach out to me by email or phone at Geoffrey.Suber@sba.gov or at 202-205-7010.



U.S. Small Business
Administration

Office of Diversity, Inclusion, and Civil Rights (ODICR)

Mission and Vision Statement

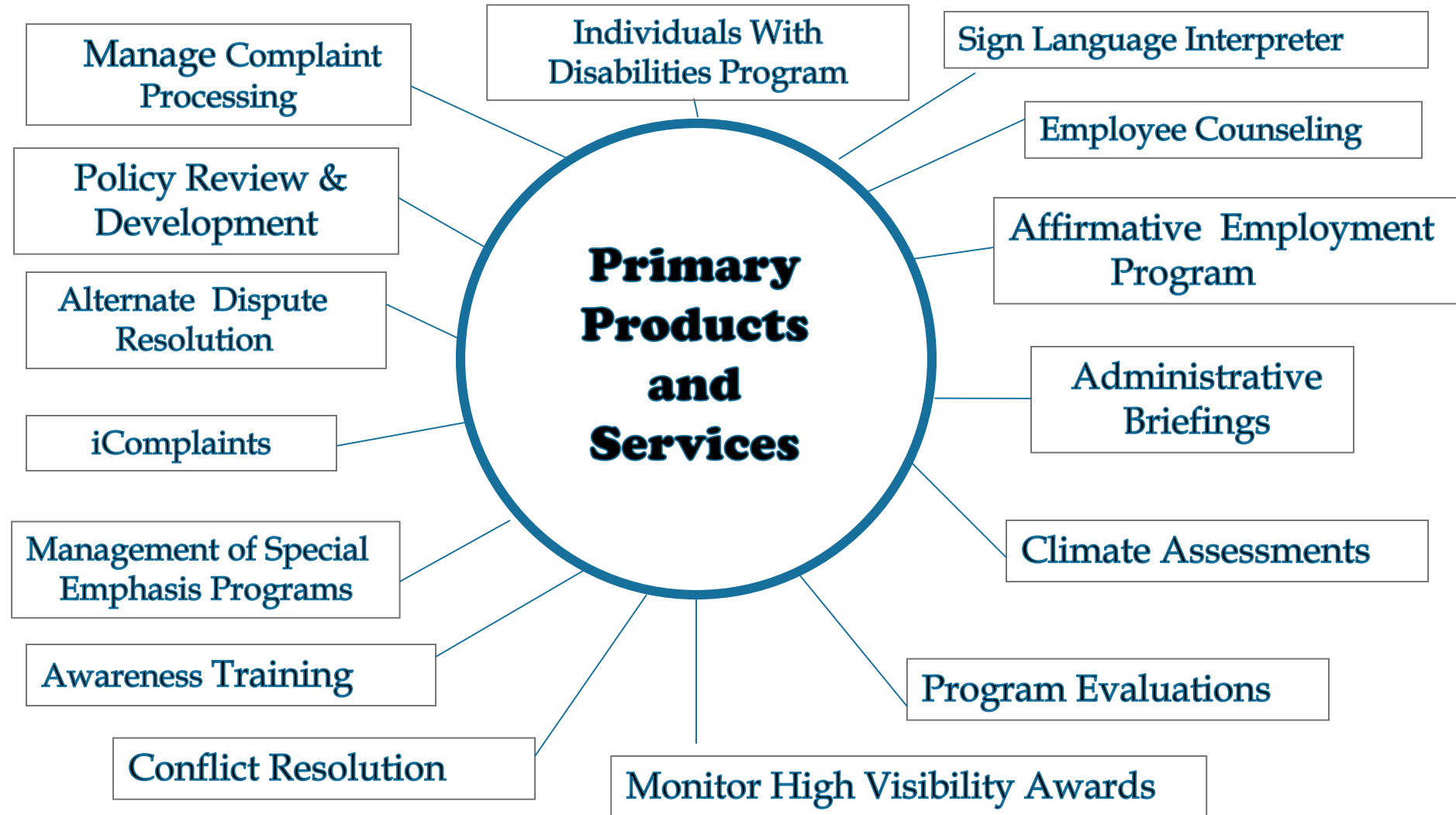
MISSION

Champion a diverse workforce and inclusive culture by ensuring equal access and equitable treatment regarding employment and entrepreneurial endeavors.

VISION

Equal Opportunity on an Equitable Basis

SBA Office of Diversity, Inclusion and Civil Rights



Programs - Overview

**Title VII
EEO Program**

**Title VI
Civil Rights Compliance**

**Conflict Resolution
Center**

**Presidential
Management Fellows**

Programs - Overview

Title VII EEO Program

- The Title VII team processes complaints of discrimination filed by employees or applicants for employment who believe that they have been discriminated against on the bases of race, color, sex, age, religion, national origin, disability or reprisal.
- Additionally, the SBA Affirmative Employment Program is housed under the Title VII team. The program designs and implements the Agency's programs, policies and procedures regarding equal employment and diversity and inclusion, including special emphasis programs, employment of person with disabilities, diversity management and training.

Title VI Civil Rights Compliance

- The Title VI team audits and investigates recipients of SBA grants to ensure compliance with Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance.

Programs – Overview (cont.)

Conflict Resolution Center

- In accordance with Administrative Dispute Resolution Act (ADRA) 1996, The Conflict Resolution Center (CRC) helps SBA's workforce address conflict constructively and at the earliest stage possible. The Center is an informal, confidential, and voluntary resource available to all SBA employees.
- The CRC helps SBA's workforce focus on the Agency's mission by reducing time and money spent on complaints and grievances; increasing organizational performance and productivity; and fostering problem-solving and innovation.

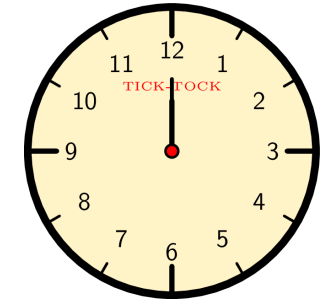
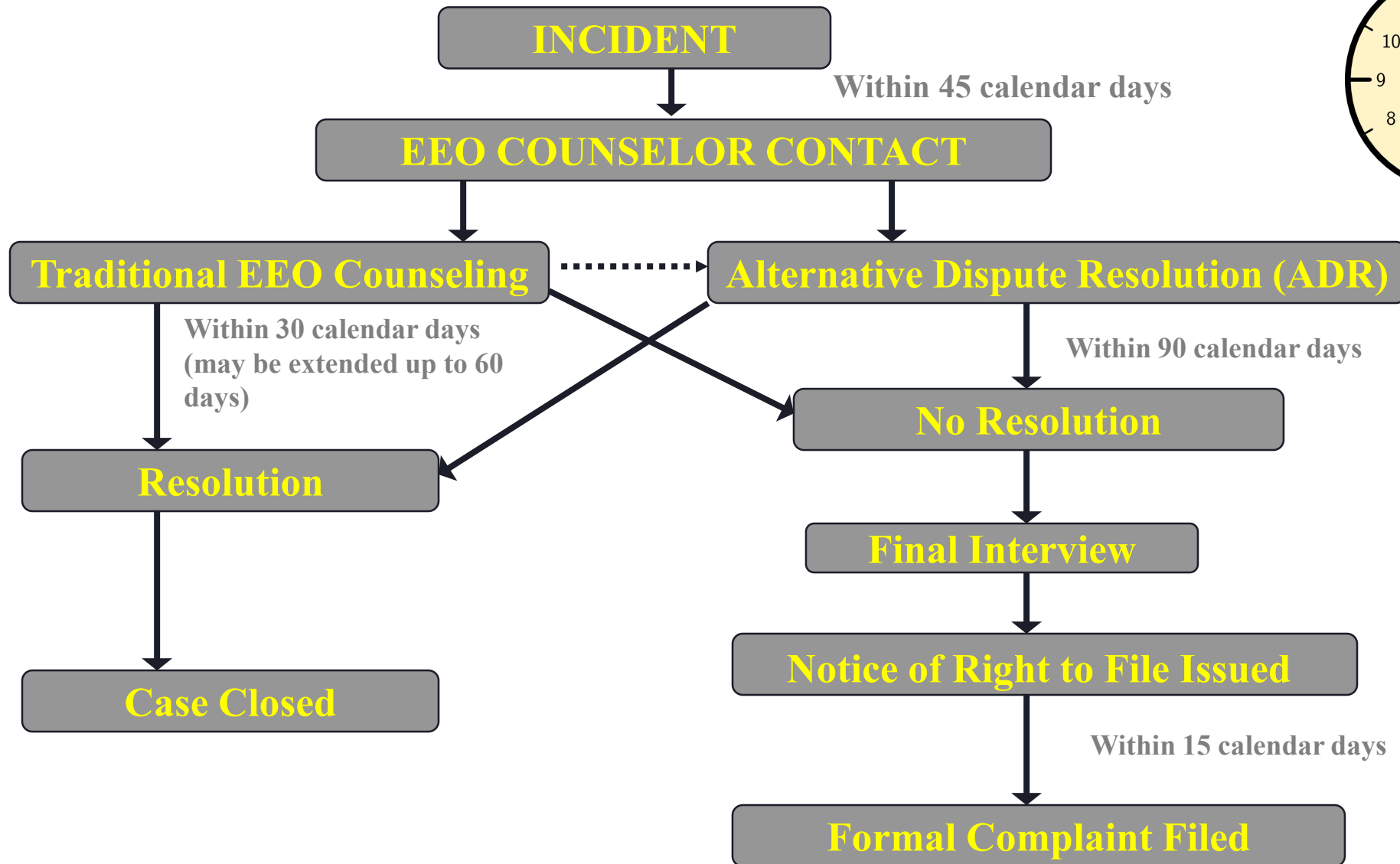
Presidential Management Fellows Program

- The Assistant Administrator of ODI&CR serves as the PMF At-Large Executive Champion. The program currently consists of 16 fellows who work on Agency priority projects.

Legal Authorities

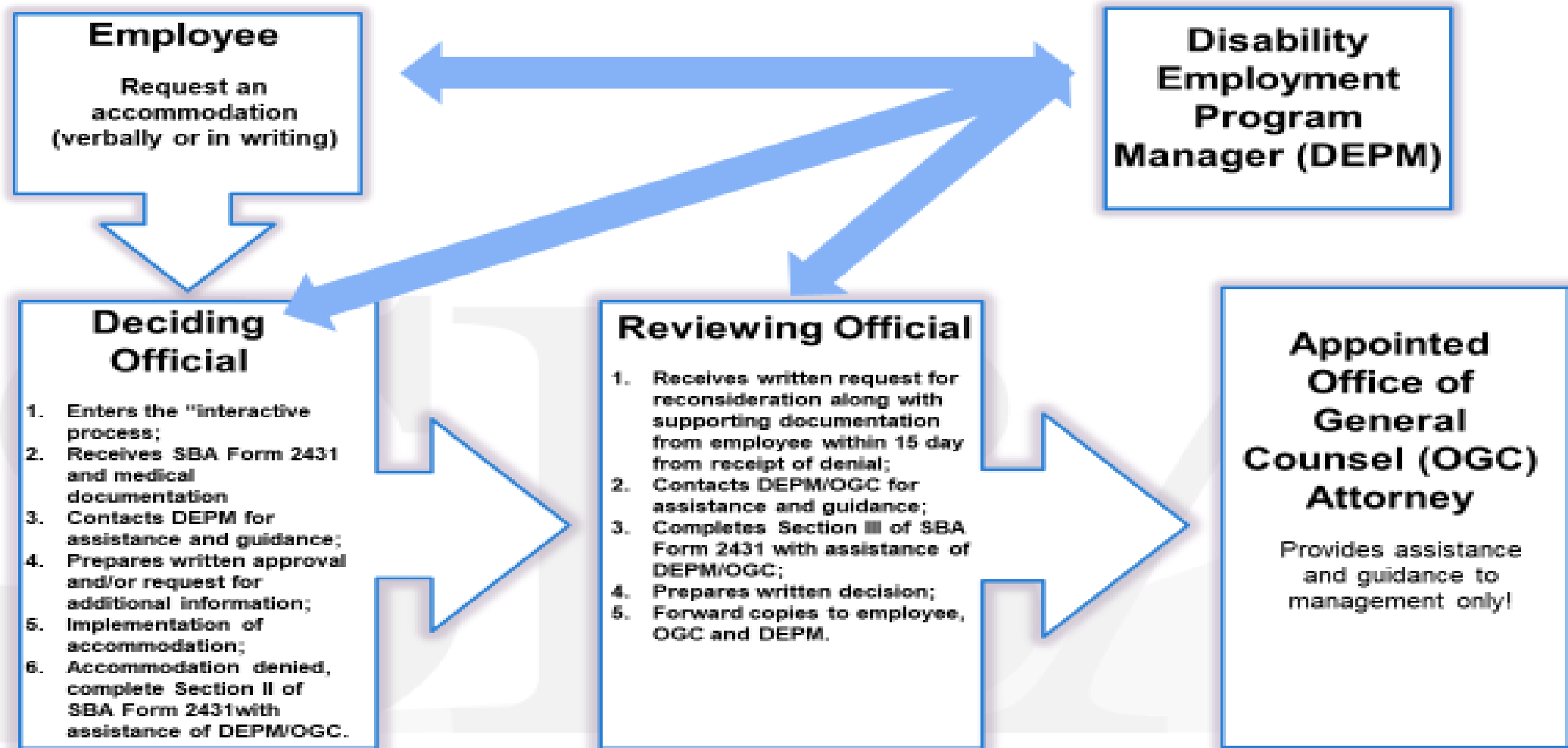
Title VII	Prohibits discrimination based on five factors, race, color, sex, religion and national origin.
Equal Pay Act	Prohibits any discrimination on the basis of sex, in wages and fringe benefits.
Age Discrimination	Prohibits discrimination based on age against individuals who are age 40 and older.
Rehabilitation Act	Prohibits discrimination in employment on the basis of physical or mental disability.
Pregnancy Discrimination	Prohibits the exclusion of applicants and employees from jobs because of pregnancy, as well as any requirement that they cease to work at a specified time, unless the employer can prove “business necessity.”
Civil Rights Reform Act	Established the Federal Equal Opportunity Recruitment Program, which requires agencies to conduct a continuing recruitment program designed to eliminate under-representation of minorities in its workforce.
Civil Rights Act of 1991	Allows victims of intentional discrimination based on sex, religion, or disability to seek compensatory damages. This was previously available only to racial and ethnic minorities. Provides Senate employees and political appointees of the Executive Branch anti-discrimination laws coverage.
Executive Order 11478 of 1969	<ul style="list-style-type: none">▪ Requires the head of each executive department and agency to establish and maintain affirmative employment programs and policies.▪ Requires EEO as an integral part of every aspect of personnel policy and practice in employment, development, advancement, and treatment of civilian employees of the Federal Government.▪ Requires that personnel system reflect equal opportunity in all phases of hiring, promotions, evaluations, awards and training actions.

Overview of the EEO Informal Complaint Process



ADR does not replace the informal counseling EEO process, it is designed to compliment it.

Reasonable Accommodations Flow Chart





U.S. Small Business
Administration

Need More Information?

You can contact:

OFFICE OF DIVERSITY, INCLUSION
AND CIVIL RIGHTS

202-205-6750



U.S. Small Business
Administration

Conflict Resolution

Is an unresolved **CONFLICT** at work making you ...



Distrustful?
Unmotivated?
Unproductive?

You can improve productivity, trust and morale by addressing conflict rather than avoiding it.

At SBA, the **CONFLICT RESOLUTION CENTER** is the place to start. Call or email for a confidential consultation with a trained conflict resolution professional.

ConflictResolutionCenter@SBA.gov
(202) 401-WCRC (9272)
(202) 205-7149

***Proactively and Constructively Resolving
Conflict in the Workplace***





U.S. Small Business
Administration

Equal Employment Opportunity and Diversity

SBA Policy Notice

SBA Policy Notice

TO: All SBA Employees

CONTROL NO.: 3000-18004

SUBJECT: Policy on Equal Employment
Opportunity and Diversity and
Inclusion

EFFECTIVE: 7-31-2018

The U.S. Small Business Administration (SBA) is firmly committed to Equal Employment Opportunity (EEO), diversity and inclusion, and constructive dispute resolution, which are all essential to maintaining a high-performing organization that provides outstanding service to our nation's small businesses. We will vigorously comply with all applicable Federal EEO laws, executive orders, directives, and other authorities to ensure all SBA employees work in a non-discriminatory, fair, and respectful work environment. This document summarizes SBA's EEO and diversity and inclusion workplace policies.

Managers and supervisors are responsible for proactively maintaining a model EEO workplace by enforcing the policies summarized in this document. Managers and supervisors will be held accountable for preventing, documenting, and promptly addressing and correcting discriminatory and inappropriate conduct in the workplace. All employees, including supervisors and managers, found to have engaged in discrimination will be subjected to disciplinary action, up to and including removal.

Equal Employment Opportunity and Prohibited Discrimination

It is the policy of SBA to ensure that all employees and applicants have an equal opportunity for employment without regard to race, color, religion, sex (including pregnancy and gender identity), age (40 or over), national origin, disability (mental or physical), sexual orientation, marital or parental status, family medical history or genetic information, and political affiliation or beliefs. This applies to all terms and conditions of employment, including recruitment and hiring practices, appraisal systems, promotions, training and career development programs. SBA employees are also protected against retaliation for participating in the EEO process and/or opposing illegal discrimination.

Diversity and Inclusion

The SBA strives to build a workforce that reflects the diversity in the small business communities we serve. We are committed to cultivating an inclusive work environment that maximizes and leverages the talents and strengths of all our employees. It is the policy of SBA to respect, value, and celebrate the unique attributes, characteristics, and perspectives that make each person unique. Diversity and inclusion principles and practices build upon the legal foundations of EEO to foster employee engagement and innovation, which are the bedrocks for a high performing organization.

EXPIRES: 7-1-19

PAGE 1 of 4

SBA Form 1353.3 (4-93) MS Word Edition; previous editions obsolete
Must be accompanied by SBA Form 58

Affirmative Employment of Persons with Disabilities

The SBA is committed to the employment and retention of qualified individuals with disabilities. To that end, SBA will vigorously enforce Sections 501, 504, 505, and 508 of the Rehabilitation Act of 1973, as amended, which mirror the Americans with Disabilities Act of 1990 and the Americans with Disabilities Act Amendments Act of 2008. The SBA will conduct targeted recruitment outreach and will leverage competitive and special appointment authorities. The SBA will also ensure that employees and members of the public with disabilities have access to electronic and information technology comparable to that of employees and members of the general public without disabilities, unless an undue burden would be imposed on the Agency.

Reasonable Accommodation

An important component in hiring and retaining individuals with disabilities is the provision of reasonable accommodations to qualified employees and applicants on the basis of disability, in accordance with law. For qualified individuals with disabilities, a reasonable accommodation is any change in the work environment or in the manner work is accomplished that enables them to perform the essential functions of their jobs and enjoy equal benefits and privileges of employment. It is the policy of SBA to provide reasonable accommodation to employees or applicants for employment who (1) have a physical or mental impairment that substantially limits one or more of such person's major life activities or (2) have a record of such impairment.

To this end, all decisions relating to employment, including but not limited to, recruitment, selection, training, assignment, promotion, compensation, transfer, benefits, and education will be determined by the applicant's or employee's ability without consideration of any requested reasonable accommodation. The SBA will also provide reasonable accommodations in connection with the provision of Agency services, programs, and activities.

In accordance with Title VII of the Civil Rights Act of 1964, SBA also provides religious accommodations to employees unless doing so imposes an undue hardship on the organization. Accommodations may include adjustments to work schedules to accommodate religious observances, allowances regarding religious attire, allowances to be excused from compulsory activities that conflict with an employee's sincerely held religious beliefs or practices, and other modifications. Religious expression and exercise are permitted in the workplace, provided that such expression does not suggest government endorsement or preference for one faith over another, interfere with efficient working of government operations, or intrude upon the legitimate rights of other employees.

Employees who believe that they require a reasonable or religious accommodation should request the accommodation from their first-line supervisor.

Avenues of Redress

Any employee who believes he or she was discriminated against on the basis of race, color, religion, sex (including pregnancy and gender identity), age (40 or over), national origin, disability (mental or physical), sexual orientation, marital or parental status, family medical history or genetic information, or political affiliation or beliefs can pursue statutory, administrative, or collective bargaining remedies using one of the following forums:

- 1) For an EEO complaint pursuant to 29 CFR § 1614 (available for all claims of discrimination other than those based on sexual orientation, unless the allegation relates to non-conformance to gender stereotypes), contact the Office of Diversity, Inclusion and Civil Rights (ODI&CR) at (202) 205-6750 within 45 calendar days of the most recent incident of alleged discrimination (or the personnel action if one is involved), as required in 29 CFR § 1614.105(a)(1);
- 2) For a collective bargaining grievance, file a written grievance in accordance with the provisions of the Master Labor Agreement;
- 3) For an appeal to the Merit Systems Protection Board (MSPB) pursuant to 5 CFR § 1201.22, file a written appeal with the Board within 30 days of the effective date of an appealable adverse action as defined in 5 CFR § 1201.3, or within 30 calendar days of the date of receipt of the Agency's decision, whichever is later;
- 4) For allegations of discrimination based on parental status, marital status, or political affiliation or beliefs, under certain circumstances, the employee may seek assistance from the Office of Special Counsel (OSC), www.osc.gov; the Merit Systems Protection Board (MSPB), www.mspb.gov; negotiated grievance procedure; or your first-line supervisor or someone higher in your chain of management; or
- 5) For information concerning allegations of Prohibited Personnel Practices under 5 U.S.C., Part 2302, including whistleblower retaliation, please contact the Office of Inspector General (OIG) Whistleblower Ombudsman at OIGOmbudsman@sba.gov, or visit the Office of Special Counsel's website at www.osc.gov.

A decision to contact an EEO counselor will not prevent an employee from filing a collective bargaining grievance or an MSPB appeal. However, if the employee wishes to formally raise claims of discrimination, he or she must elect one forum. The employee must elect to file a formal EEO complaint, a negotiated grievance, or an MSPB appeal. Whatever action the individual files first is considered the employee's election to proceed in that forum. Therefore, if an EEO complaint is filed after a grievance or MSPB appeal has been filed on the same matter, it shall be dismissed.

For more information on avenues of redress, please review the "Avenues of Redress" chart, which is attached and also available at:

<https://sba123.sharepoint.com/offices/eeo/Pages/PolicyStatements.aspx>.

I fully expect all employees to promote the Agency's EEO policy in all of their workplace activities. By working together, we can successfully exemplify diversity and inclusion principles and be a model EEO agency.

Linda E. McMahon
Administrator

Attachment: Avenues of Redress Chart

AVENUES OF REDRESS AVAILABLE TO SBA EMPLOYEES TO ADDRESS & RESOLVE WORKPLACE DISPUTES

This chart is intended to assist employees and supervisors with quickly identifying the various avenues of redress that are available to address and resolve employment-related issues, concerns, and/or disputes.

Employees should not rely solely on the information provided in this chart for guidance. Rather, they should refer to the relevant regulations and standard operating procedures cited within the chart to ensure that they fully understand, and do not waive, any rights made available to them under law.

Who/What It Covers		For More information
Employee Chain of Command	All employees who wish to address work-related concerns or issues with their immediate supervisor, prior to pursuing other remedies. If after meeting with the supervisor, the employee believes the dispute has not been satisfactorily resolved, he/she may pursue his/her concern through the appropriate administrative chain of command.	Contact individuals within the supervisory chain of command.
SBA Conflict Resolution Center (CRC)	The CRC is an informal, confidential and neutral resource for employees and supervisors who need practical tools and guidance to address a workplace conflict proactively. The CRC can facilitate informal discussions to help individuals problem solve in a way that creates better solutions for those involved. The CRC's services include: Conflict Coaching, Facilitated Discussion and Group Facilitation.	This resource is for any type of relationship (peer-to-peer; manager-to-manager; employee-to-supervisor). Bargaining Unit employees can utilize the CRC in a manner consistent with labor agreement policies and procedures (see VI. Policies & Procedures section of SOP). To request services, contact the CRC by email or phone to schedule an initial consultation appointment: ConflictResolutionCenter@sba.gov or by calling 202-401-9272 or for more information visit the intranet at: https://sba123.sharepoint.com/resources/crc/Pages/default.aspx
Negotiated Grievance Procedure- Available for bargaining unit employees	Bargaining unit employees may use this avenue to address most matters related to employment and claims of violation, misinterpretations and misapplication of the master labor agreement, laws, rules, or regulations, unless otherwise excluded. For claims of discrimination, a bargaining unit employee may raise claims either under the EEO complaint procedure or the Negotiated Grievance Procedure, but not both. Whichever forum is first elected is the forum that must be used.	Copies of applicable collective bargaining agreements are available from the human resource office. Collective bargaining agreements are located on the intranet at : https://sba123.sharepoint.com/sites/COO/OHRS/WorkforceRelations/WorkForce%20Relations%20Documents/AFGE_SBA_revise dMLAasof10-5-17.pdf
Administrative Grievance Procedure— Available for non-bargaining unit employees/SBA Office of Hearings and Appeals (OHA) Appeals Process	Non-bargaining unit employees, or any employee in a bargaining unit that does not have or is ineligible to use a negotiated grievance procedure, can use this avenue to address any dissatisfaction, grievance, or complaint that is not specifically excluded by the Chapter 1, Paragraph 7 of SOP 37 71 2. Employees who have filed an administrative grievance may appeal the Appropriate Management Official (AMO) decision to OHA by filing a petition of appeal within 15 calendar days from receipt of the AMO's decision.	Information and procedures are contained in SBA SOP 37 71 2 For additional information visit the intranet at: https://sba123.sharepoint.com/sops/Documents/3771/sop37713.pdf
SBA Office of Diversity, Inclusion, and Civil Rights (formerly Equal Employment Opportunity & Civil Rights Compliance)	Covers applicants, current, and former employees who believe they have been discriminated against based on race, color, religion, national origin, sex (including sexual harassment and gender identity), age (40 and over), disability (physical or mental) and/or retaliation. A discrimination complaint in connection with an adverse action that is appealable to the EEOC may be filed with EEOC or MSPB, but not both. Whichever forum is first elected is the forum that must be used.	Claims may be filed by contacting the Office of Diversity, Inclusion, and Civil Rights by calling: 202-205-6750 or write: US SBA, ATTN: Assistant Administrator 409 Third Street SW DC., Suite 6400 Washington DC 20416 Information and procedures are contained at 29 CFR or in SBA SOP 37 13 3. For additional information visit the intranet at: https://sba123.sharepoint.com/offices/eoo/Pages/default.aspx
U.S. Merit Systems Protection Board (MSPB)	All employees can use this avenue to appeal some adverse personnel actions or certain prohibited personnel practices. Additionally, after exhausting required steps with the Office of Special Counsel, a whistleblower retaliation complaint may be filed with MSPB.	Information and procedures for filing complaints may be found at: www.mspb.gov You may also contact the appropriate Regional Office listed at: http://www.mspb.gov/contact/contact.htm#AT or call: 1-800-209-8960 or 1-800-877-8339(TDD)
U.S. Office of Special Counsel (OSC)	This avenue provides protections for employees and applicants from prohibited personnel practices, including reprisal for whistleblowing. OSC also enforces restrictions on political activity of federal employees and protects employment and reemployment rights of veterans, guardsmen and reservists.	Information and procedures for filing complaints may be found at: www.osc.gov or https://osc.gov/pages/file-complaint.aspx Employees may also seek more information concerning whistleblower retaliation from the OIG Whistleblower Ombudsman by contacting OIGombudsman@sba.gov . The OIG

		Ombudsman's role is to educate agency employees about prohibitions on retaliation for protected disclosures, and educate agency employees who have made or are contemplating making a protected disclosure about the rights and remedies against retaliation for protected disclosures. The Ombudsman is prohibited from acting as an employee's or former employee's legal representative, agent, or advocate.
SBA Office of Inspector General (OIG) (for limited whistleblower retaliation claims.)	Any employee who believes that the Agency has made a decision/recommendation impacting the employee's eligibility for access to classified information as reprisal for a Protected Disclosure, may file a complaint of reprisal with OIG.	SOP 90 22 (Rev. 5B), Chapter 8, Section 22 (effective July 8, 2013). https://sba123.sharepoint.com/sops/Documents/9022/SOP%2090%2022%205B%20Chapter%20VIII.7-9-13.pdf



U.S. Small Business
Administration

Continuity of Operations (COOP)

Agenda

- Definition of COOP
- COOP Training
- Emergency Notification System
- Upcoming COOP events

What is COOP?

- Continuity of Operations (COOP) planning assures that a organization can keep performing its most important tasks in an emergency
- AKA: Business continuity planning
- Combined with other Federal agencies, COOP assures “COG” – the Continuity of Government
- Agency COOP plan located on the YES page under Emergency

COOP Training

- Required Annual Training
 - Must be completed by all prior to December 31st each year

Emergency Notification System (ENS)

Agenda

- The SBA ENS Allows SBA personnel to receive critical, time sensitive, notification about the operating status of the SBA.
- ENS Record
 - Everyone must have a record
 - Provide as much information as possible
 - To create your ENS record email COOP@sba.gov

ENS

- Notifications sent via
 - Email (sba-ens@dccnotify.com)
 - Text messaging
 - Phone (Area code 615, TN)

ENS

- Receiving and Responding to Notifications
 - Email and text will be received first
 - Read the entire email
 - Reply by email with ten minutes
 - Type “YES”
 - Text message
 - Read the message
 - Type “Yes”, “OK” or “Okay”
 - Phone
 - Enter your **Evening Phone Number** as your **User ID**
 - Listen to the entire message
 - Respond to the prompt

Upcoming COOP Events

- Eagle Horizon
 - Annual continuity of operations exercise for Federal headquarters in DC area
- Presidential State of The Union Address (SOTUA)
 - Yearly address delivered by President to Congress

Questions

Questions
???

Contact COOP@sba.gov



U.S. Small Business
Administration

Emergency Notification System

Additional Information

The SBA Emergency Notification System (ENS)

The SBA Emergency Notification System (ENS) allows SBA staff members/contract support personnel (contacts) to receive critical, time sensitive, notification about the operating status of the SBA. From the ENS, contacts receive notifications via email, landline and cellular phone, and short message service (SMS) text messages. Emails from the SBA ENS will be addressed "From" sba-ens@dcc.notify.com. Phone calls from the SBA ENS will come from phone number (615) 846-6050, and text messages from the SBA ENS will come from 34292. ***Please add this information to your contacts on your personal and work mobile phones.***

The ENS requires that all users have a User ID. **Your User ID is your Evening Phone Number.** Your Evening Phone Number must be a unique ten digit phone number, landline or cellular, that is not shared by another SBA staff member or contract support personnel.

The ENS will discontinue sending notifications to other contact devices as soon as it processes a response from a contact. Such a response provides SBA with staff accountability and a means of determining if employees and contractors are safe in an emergency. The easiest way to respond to a notification is via email. The procedures for responding when receiving notifications by each device are as follows:

- Email: Most emails will require contacts to respond to the email. To respond, simply reply to the email with the word YES as the only new word beginning the body of the reply email.
- Phone: When receiving a notification via phone, contacts will usually be asked to **"Please Enter Your Evening Phone Number as Your User ID"**. The contact *User ID* is their "evening phone number". When requested, each contact should enter their *User ID/Evening Phone number* followed by the number symbol/pound sign "#". After the *User ID/Evening Phone Number* has been entered correctly the notification will be delivered. To adequately respond to the notification, it is required to listen to the message until asked to have the message repeated and then make a selection: "press 1 for yes or 2 for no".
- SMS: At the end of SMS messages there may be a requirement to call the ENS toll free number (855-534-2176) to acknowledge receipt of the

message. Each contact should dial the toll free number provided and follow the instructions to enter their *User ID* (Evening Phone Number provided to the ENS database). After the *User ID* has been entered correctly, the notification will be received.

- **Voice Mailbox Messages:** The ENS may leave a voice message in the voice message mailbox when a contact's phone is not answered. The voice message will include a request for the contact to call the ENS toll free number (855-534-2176) to hear an important message. When receiving a notification by phone, contacts may be asked to enter their *User ID*. After the *User ID* has been entered correctly the notification will be delivered..

Each contact that has provided at least one cellular number can receive information notifications via text messaging.

To Reply to a Text Message:

1. Message recipients can use their text device to respond to a notification.
2. Accepted responses include: "YES", "yes", "OK", "ok", "OKAY", "okay", "NO", "no".
3. Responses can include four digit estimated time of arrival. Examples: "YES 1500", "yes 15:00", "OK 1500", okay (A space is required if an ETA is given.)

For questions about the SBA ENS or if you need assistance updating or creating your ENS Record please contact COOP@sba.gov or call (202) 205-9550.



The ENS is an email and phone automated system used by SBA to notify employees in the event of an emergency. The ENS transmits critical, time sensitive, information notifications while also providing the current operating status of the agency. In the event of an emergency, SBA uses the ENS to immediately notify affected staff to keep them out of harm's way. Emergencies include natural or man-made disasters affecting SBA headquarters or field offices, as well as on site or nearby security breaches. The emergency contact information noted in an employee's ENS record is used for personal staff emergencies.

EMPLOYEE CONTACT INFORMATION DATA

The information entered/provided must reflect your initial SBA job application – only middle initials, no nicknames. PLEASE NOTE: Evening and cellphone number can be the same, but all applicable information is required.

START DATE: _____

CONTACT INFORMATION

FIRST NAME: _____

MIDDLE INITIAL: _____

LAST NAME: _____

EMAIL: _____
WORK **PERSONAL**

TELEPHONE: _____
WORK **EVENING**

CELL PHONE: _____
WORK **EVENING**

HOME PHONE: _____

IN CASE OF EMERGENCY, PLEASE CONTACT NAME BELOW

NAME: _____

TELEPHONE: _____

ADDRESS: _____

Conclusion

**Please sign Training and Rules of Behavior
acknowledgement.**

Thank you for attending.



U.S. Small Business
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Work-Life Programs

Defining SBA Work Life Program

Work-life is the business practice of creating a flexible, supportive environment to engage employees & maximize organizational performance.

Work-Life is simply a set of initiatives and resources provided by SBA that support our well-being at work and home!

Are Work-Life Programs Beneficial?

- ✓ Improves productivity and employee engagement
- ✓ Improves employees' and dependents' abilities to successfully respond to challenges
- ✓ Reduces the likelihood of workplace violence or other safety risks
- ✓ Supports disaster and emergency preparedness
- ✓ Manages the effect of disruptive incidents, such as workplace, injury, or other crises
- ✓ Reduces healthcare costs associated with stress, depression, and other mental health issues
- ✓ **Employees committed to SBA's mission!**



Health and Wellness

SBA health and wellness programs help employees assess their lifestyle priorities and move toward an optimal state of wellness.

- Health education
- Lactation support
- Physical activity promotion
- Screenings
- Vaccinations
- Disease management
- You can also obtain health and wellness resources online at **Fedstrive.foh.psc.gov**



Visit Fedstrive.foh.psc.gov

- FedStrive is SBA's Health Promotion service provider
- **Program offerings include:**
 - Monthly virtual health education workshops
 - Ongoing virtual meditation and stretch series
 - Quarterly virtual wellness challenges
 - Interactive health awareness toolkits
 - Monthly newsletters about health awareness topics



Support the Women in Your Life

Women often show compassion for those around them, but that can sometimes mean neglecting their own health. Remind the women you are close with to take care of themselves. Share the phrase "You First" with at least one woman in your life as encouragement to pay attention to her health.

In honor of our celebration of women's health awareness month this October, visit the [Women's Health](#) page for five wellness tips you can follow and share with others.

[Practice These 5 Strategies](#)



A graphic for the "Take 20 Tuesday Stretch Series". It features a large "20" with a clock face integrated into the "0". The text "TAKE 20 TUESDAY STRETCH" is at the top. Below is a photo of a person in a white shirt and black vest, seen from behind, stretching their arms upwards while sitting at a desk. The background shows office shelves with binders.

NEW Take Twenty Tuesday Stretch Series

Join us for an online stretch session. Each twenty minute session includes desk stretches and a breathing exercise. Relax, De-stress, and Unwind!

Take Twenty Tuesday is an ongoing monthly stretch series for FedStrive eligible participants. Once registered, you will be registered for all first Tuesday sessions for the fiscal year. Get started in October.

Tuesday, October 2
2-2:20pm E.T.

[Register Now](#)

Employee Assistance Program (EAP)

SBA's EAP is a voluntary, confidential program that helps all employees work through various life challenges.

- Short-term, problem-solving counseling and consultation
- Referrals to community resources
- Legal and financial services
- Group services
- 24/7 telephone support
- Website resources



EAP Short-Term Counseling Can Help

- Challenging relationships
- Emotional reactions and regulation
- Stress
- Anxiety
- Depression
- Grief
- Workplace problems
- Family concerns
- Alcohol and drug abuse issues



EAP Legal and Financial Consultations

- Telephone connection for legal* and financial advice
- Local in-person attorney services
- Simple Will preparation
- Online legal services
- Identity theft solutions
- Family budgeting/financial planning
- Savings and investment strategies
- Determining retirement needs
- Identifying a local financial planner
- Selecting which credit card to pay off first

*Legal advice cannot be provided on SBA employment matters

Visit FOH4You.com

- FOH4You is EAP's official website.

- **FOH4You Provides:**

- Valuable information, educational materials, and resources
- Self-assessments on key behavioral health topics, including depression, anxiety, relationship issues, alcohol abuse, and health and wellness, to help you live healthy and work well

The screenshot displays the FOH4You.com website. At the top, the PSC and Federal Occupational Health logos are on the left, and the phone number 1-800-222-0364 (TTY: 1-888-262-7848) is on the right. A navigation bar includes links for MYFOH-4-YOU, PROVIDERS, BENEFITS, LIBRARY, MEMBER SERVICES, and MANAGERS, along with a REGISTER button. Below the navigation bar is a carousel of three images: 'Work-Life Balance is Possible' (people stretching), 'Webinars and podcasts' (a person on a laptop), and 'Self-Assessments' (a couple talking). Underneath the carousel is a row of four icons: 'Get Started' (power button), 'Benefits & Services' (book), 'Topics & Tools' (wrench and screwdriver), and 'Health & Wellness' (heart). The 'Get Started' section is expanded, showing a list of 'ANNOUNCEMENTS' including 'FOH EAP Materials' with links to Supervisor Toolkit, Legal Brochure, Financial Brochure, EAP Brochure, EAP Supervisor's Guide, EAP Services at a Glance, and EAP Overview. To the right of the announcements are three smaller images: 'Check Benefits' (hands on a calculator), 'FEEDBACK Wanted' (megaphone), and 'Live Healthy' (woman with a drink). At the bottom, a large graphic features the text 'PERSONALIZED SERVICE: Better Choices' surrounded by circles labeled 'Counseling Services', 'Health & Wellness', and 'Management Consultation'.

SBA Telework Program

- Telework is a work arrangement that allows an eligible employee to perform work, during any part of regular, paid hours, at an approved alternative worksite.
- All SBA employees participating in the telework program are required to have a completed agreement in WebTA.

Telework Enhancement Act & Office of Personnel Management (OPM)	Telework Program SOP 33 59 3	Master Labor Agreement (MLA)
<p>Requires each Executive agency to establish and implement a policy under which employees are authorized to telework.</p> <p>Telework.gov is the official website of the Federal Government's telework program</p>	<p>Contains SBA Telework Program requirements and procedures</p> <p>Excludes OIG employees</p> <p>Telework SOP</p>	<p>Article 23 provides additional telework guidance for SBA Bargaining Unit Employees</p> <p>2017 MLA</p> <p>The 2017 MLA supersedes the 2013 MLA listed in the Telework SOP</p>

Family & Dependent Care

- Resource guides for finding quality childcare
- Worksite lactation support for new parents
- Free counseling, legal, and financial assistance
- Webinars



Get Engaged!

Work-Life Engagement Network

What is the SBA Work-Life Engagement Network (WEN)?

The WEN consist of employees who serve as local primary Work-Life Program advocates throughout the Agency.

How will the WEN contribute to the success of SBA?

The WEN will increase program awareness by creating and expanding program support within SBA Field Offices and HQs to help cultivate an engaged and high-performing workforce committed to SBA's mission.

Get Engaged!

“Upcoming SBA Work-Life Activities”

**Monthly EAP &
FedStrive Webinars**

Online Guided Meditation Sessions

Online Guided Stretch Sessions

Fitness Initiatives & Opportunities

**View the SBA Daily Newsletter regularly
for more Work-Life activities and events.**

SBA Work-Life Program

Nicole Simpson
SBA Work-Life Coordinator
Office of Human Resources Solutions (OHRS)
U.S. Small Business Administration
(202) 205-2413
nicole.simpson@sba.gov

**EAP assistance is available all day,
every day.**
We care, just call.
800-222-0364
(TTY: 1-888-262-7848)



Lean on us.

Your Employee Assistance Program is here to
help any time, day or night, at no cost to you.

800-222-0364

TTY: 888-262-7848

foh4you.com



Federal
Occupational
Health

U.S. Department of Health and Human Services





U.S. Small Business
Administration

Performance Management



Performance Management

Performance management involves much more than just assigning ratings. It is a continuous cycle that involves:

- **Planning** work in advance so that expectations and goals can be set;
- **Monitoring** progress and performance continually;
- **Developing** the employee's ability to perform through training and work assignments;
- **Rating** periodically to summarize performance and,
- **Rewarding** good performance.



Source: <https://www.opm.gov/policy-data-oversight/performance-management/performance-management-cycle/>

SBA uses a cloud platform, TMC (Talent Management Center), to create, establish and deliver the tools necessary for effective performance management and development needs of the agency.

TMC is not tethered to the SBA network and can be accessed on computer/laptop/smartphone.

Employees receive an email from TMC within three weeks after the employee's enter on duty date.

The Application of TMC to the Performance Management Cycle

Planning: We set the performance expectations and goals through performance elements. These are established in TMC within 30 days of the employee's start date and codified into the Performance Plan.

At a minimum, employees receive three elements: two shared elements (i.e.: shared across the agency) and one job specific element. Managers/supervisors receive at a minimum four elements (three shared elements and one job specific element). Elements "cascade down" from the Agency and Program Office's Strategic Plan. The average number of performance elements in a plan range from four to five.

Monitoring: The Performance Cycle follows the Fiscal Year (October 1st – September 30th)

Monitoring consists of TMC issuing a series of tasks to the employee: the performance plan (completed 30 days from the start date) three quarterly reviews ("check-ins") completed at the end of the first three quarters, and the end of the fiscal year performance appraisal in which a rating is given based on a 5 level scale.

During the fiscal year, adjustments may be made to the performance elements until June 30th.

Developing: Developing means ways to increase the employee's capacity to perform. One of the ways to develop employees is through learning and development (L&D). TMC provides/assists with the L&D process in a variety of ways. Employees can sign up for courses through the TMC calendar-such as Training for New Managers and courses led by Franklin Covey. If an employee needs specific development courses, they can request external training through the SF-182 form process in TMC.

TMC hosts the mandatory annual employee training courses including FOIA, The No FEAR Act, SBA Unauthorized Commitments, Continuity of Operations (COOP) Training, Prohibited Personnel Practices-Whistleblower Training, and Workplace Harassment Prevention for Federal Employees.

TMC also hosts the Skillsoft offerings of courses, audio textbooks, e-textbooks and e-workbooks covering various facets of business, technology, and performance improvement.

Rating: The Performance Appraisal consists of five levels: 1 = Unacceptable; 2= Marginal; 3= Meeting Expectations (doing your job to the best of your ability); 4 = Exceeding Expectations (impact to the program office); 5= Outstanding (impact to the agency OR the result would not have occurred without this person's drive to conceive and execute the project). Employees must on performance standards for 90 days to receive a rating.

Rewarding: At the end of the appraisal period, each program office is assigned a pool of money which may be distributed to those who received a rating of level 4 or 5 on their performance appraisal. Other award types are: time off awards and quick cash awards (\$200) which can be distributed throughout the year.

Finally, each fall, OHRS hosts *The IKE Awards*. This awards ceremony honors those high performing individuals and teams whose actions and hard work resulted in tremendous achievements for the agency during the last fiscal year.

Resources

- OHRS Performance Management Team:
Thad Ficarra Thaddeus.Ficarra@sba.gov and Deb Hughes
Deborah.Hughes@sba.gov
- AsktheCLO@SBA.gov subject: Performance Management
- SOP 34.30.5 – Performance Management Program
- SBA Strategic Plan Version FY 2018-2022 <https://www.sba.gov/about-sba/sba-performance/strategic-planning/sba-strategic-plan-fiscal-years-2018-2022>
- SBA Master Labor Agreement

OPM- A Handbook for Measuring Employee Performance.



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Talent Management Center



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Talent Management Center

*** By accessing this system you consent to governance by the Privacy Statement and Rules of Behavior.*** For more information, click the menu item below.

Search

Home Learning Performance My Team Knowledge Bank Reports ILT Admin Rules of Behavior and Privacy Statement

Welcome JOELLEN

September 4, 2010
Login Status: Manager

Learning

Performance

My Team

SBA's Learning Management System (LMS) focuses on closing competency gaps for mission critical occupations while enhancing SBA core business skills for employees in non-mission critical occupations.

[Learn More](#)

I want to

[Search for Internal Training](#)

[Browse for Internal Training](#)

[Request External Training](#)
SkillSoft Books 24 X 7

Your Portal for *ensuring* Success!

My Leadership Development Corner

[CyberFed's Manager Advantage](#)

TMO Enhancement Announcements

[First Look - New Performance Elements and Decline to Sign](#)

My Training

	Due Date	Action
Annual FOIA Training	10/8/2017	Launch
Prohibited Personnel Practices -- Whistleblower Training	5/18/2018	Launch
The No FEAR Act	9/30/2018	Launch

My Tasks (Click here to see full list)

No Current Tasks In Progress

My Inbox

View transcript
(0 approved training selection(s))
(Registered for 14 training selection(s))

Approve SF-182 Requests
(Your employees have 19 SF-182 training requests pending approval.)



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Questions?