

UNITED STATES DEPARTMENT OF JUSTICE

# UNITED STATES MARSHALS SERVICE



**DETMAW**



# 2017 ANNUAL REPORT

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## 228 YEARS PROTECTING THE FEDERAL JUDICIAL PROCESS

As the nation's first, most versatile federal law enforcement agency, the United States Marshals Service (USMS) is a force of approximately 5,200 deputies and civil servants who protect the judicial process, the cornerstone of American democracy. Across the 94 federal judicial districts, this protection is realized in each courthouse search, prisoner transport, and fugitive apprehension on a federal warrant. A diverse and accomplished staff of deputy U.S. marshals (DUSMs) and administrative personnel, led by a U.S. marshal, conduct these activities while navigating the unique historical, geographic, and legal considerations that each district presents. The agency's 228 years of experience navigating these considerations in order to protect the federal judicial process has earned the USMS the distinction of serving as the nexus for law enforcement at all levels within a judicial district.

Of primary concern to the USMS is the protection of federal judges, federal prosecutors, and court officials. Daily, district personnel assess the current threat environment of these protected officials and their work locations and secure these locations through comprehensive safety checks and patrols. When federal courts open for business, court security officers (CSOs) stand ready to screen the public entering the building. DUSM-led protective details provide an additional layer of security available at a moment's notice to federal judges and others when threats jeopardize their safety. With the support of headquarters' collection and dissemination of intelligence, tactical operations, and the coordination of witness security, USMS protection of all of these areas allows federal judges and others to focus on the complexities of the cases in front of them, rather than their own or the court's security.

The federal judiciary relies on DUSMs to transport prisoners to, and guard prisoners during, court hearings. Prisoner transport to court appearances is only one part of a complex process of housing and safeguarding federal prisoners. To ensure federal court proceedings are unaffected and a prisoner's constitutional right to a fair and speedy trial remains intact, USMS districts' and headquarters' prisoner operations, ground, and air transportation staff engage in significant planning and coordination to manage multiple external and internal constraints. A court's docket dictates the time, number, and identity of prisoners to appear. District size and availability of secure detention facilities determine the distance DUSMs and others must travel with federal prisoners. USMS policies prescribe the manner of prisoner transport and the minimum number of DUSMs who must be present in each of these activities.

In furtherance of the judicial process, DUSMs serve federal summonses and warrants and capture federal fugitives. From the arrest of a defendant out on bond to the apprehension of prison escapees, DUSMs investigate, locate, and detain the accused and the guilty to guarantee court cases proceed unimpeded and prison sentences are served. Headquarters lends its investigative assistance in these and other matters including providing leadership to districts in their efforts to recover missing children and investigate noncompliant sex offenders. Finally, the USMS is central to the Department of Justice objective to reimburse victims of crimes through the identification and seizure of assets gained from criminal activity.

USMS missions require that its personnel are always responsive to new and existing challenges. To accomplish this, the agency hires and trains its operational and administrative workforce to be adaptive and agile. In a given week, and depending on the district, a DUSM might be asked to conduct activities in support of all of the agency's missions, or a DUSM may be fully dedicated to support a single mission: provide federal judicial security, apprehend fugitives and noncompliant sex offenders, secure and transport federal prisoners, execute federal court orders, seize and manage assets forfeited to the government, and assure the safety of endangered government witnesses and their families. USMS human resources, financial, training, and IT functions provide unparalleled support to these operational missions. This administrative support allows DUSMs to focus on protecting the federal judicial process.



America's Star shines even brighter as the United States Marshals Service marks another milestone in our 228-year journey illuminated by a professional workforce, unparalleled security and recovery efforts, and sophisticated yet transparent administration. With the release of last year's Annual Report, I reflected on the Marshals Service's leadership role since 1789, through historical missions and recent investments that spurred the nation and the USMS onward. At that time, it was unknown how quickly these visionary solutions would prove crucial in assisting with a series of natural disasters impacting the Country throughout fiscal year [FY] 2017.

This year's Annual Report includes highlights of the ways in which early steps to mitigate risks to law enforcement personnel, to the witnesses and protectees under our charge, and to the public we proudly serve, allowed the USMS to assist in crisis situations, while also meeting and exceeding law enforcement objectives. Our significant strategic investments in infrastructure, training, and partnerships prepared personnel to more efficiently perform vital work while also quickly evacuating prisoners from sites affected by hurricanes, delivering much needed supplies to island residents, and providing safe haven transportation to affected personnel.

Several strategic advancements were made during FY 2017 to further our lead as a security-minded and intelligence-driven culture focused on officer safety and enhancing justice, integrity, and service. The USMS continues to build its intelligence capabilities to reinforce security of protected persons. The Agency strengthened its commitment to the protection of children by providing Agency psychologists as specialized instructors, the first of this type of instructor in the Federal Government. Detention operations were augmented through investments in information sharing and case management, contract improvements, training, and automation. The Agency's attention to financial accuracy and efficiency, as well as its willingness to embrace new technology, positions it as the leader in financial and procurement management among Department of Justice components.

Each employee of the USMS is valued for their unique contributions, and leadership actively seeks ways to empower the workforce and the organization to continue to be the standard bearers enhancing the rule of law around the world. The USMS made significant strides in ensuring its operational personnel possessed the most advanced officer safety training and equipment, as well as the proper medical and technological capabilities to support emergencies. The Agency invested in a consolidated training request management system, furthered its ability to more effectively achieve its missions by implementing competency-based hiring, and invested in the wellbeing of personnel by expanding crisis services to all employees. During this FY, our Critical Incident Response Team, one of the oldest continuing operating crisis management teams in existence and a recognized leader in its field, was awarded for making significant contributions through crisis response nationally. These constant strengthening efforts supported the Marshals Service family when faced with the tragic line-of-duty death of Deputy Commander Patrick Thomas Carothers on November 18, 2016. His heroic sacrifice only furthered our resolve to provide for the safety and wellbeing of our workforce. In fact, all of the achievements outlined below are only possible because those within our ranks, since the beginning of the Agency, are motivated to lighten a forward path, especially during times of hardship and challenge.

A handwritten signature in black ink, reading "David L. Harlow". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

David L. Harlow  
Deputy Director, United States Marshals Service

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**Mission**

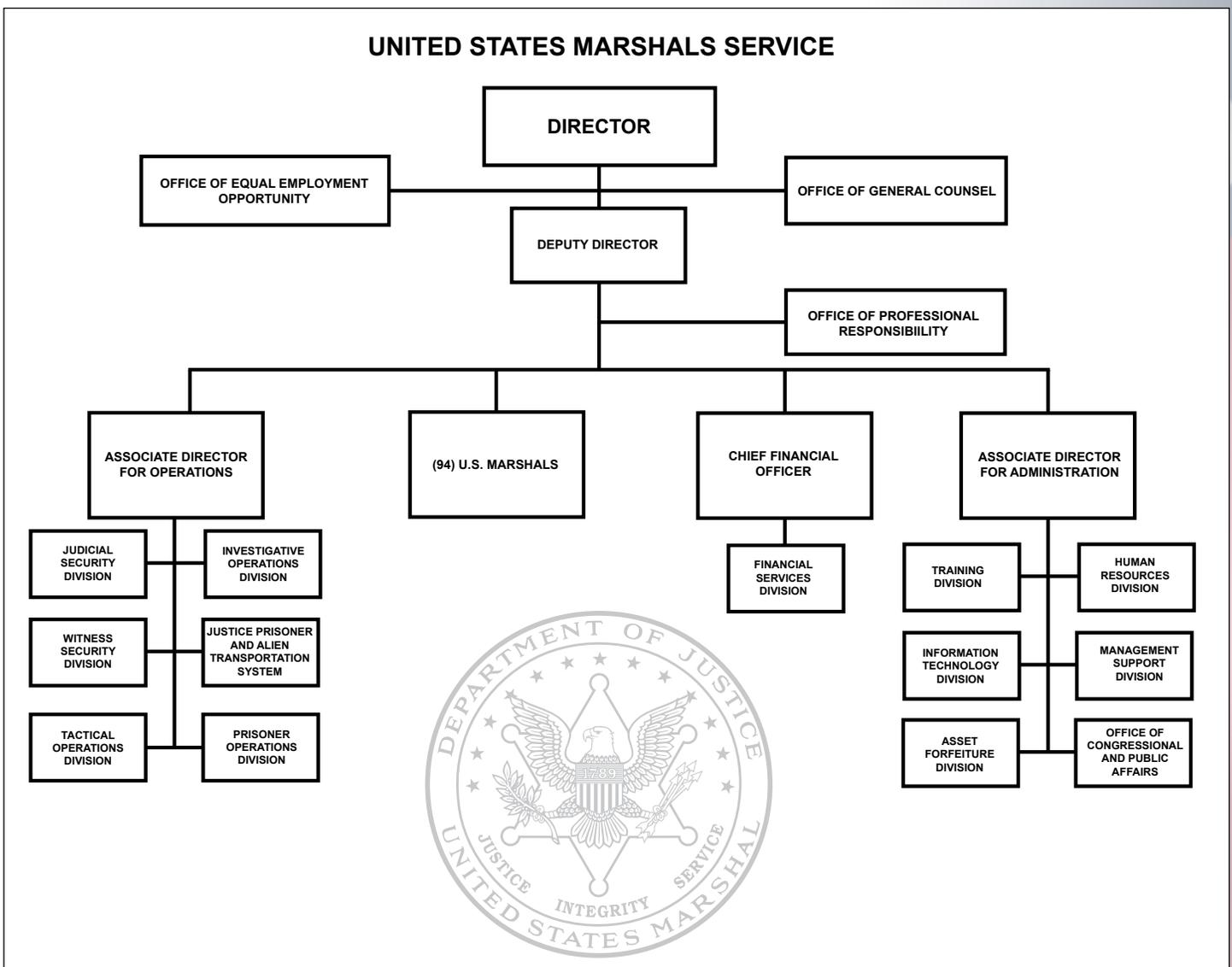
To protect, defend, and enforce the American justice system.

**Vision**

A world class law enforcement agency—unified in our mission and workforce; professional and agile, with modernized tools and capabilities; strategically building upon our status as a trusted partner by achieving the highest levels of effectiveness, efficiency, safety, and security.

**Organizational Structure**

Depicted below.



## RESPONDING TO FY 2017 NATURAL DISASTERS



**Disaster strikes** In FY 2017, U.S. Marshals Service districts in parts of the southeast, Puerto Rico, and the U.S. Virgin Islands were heavily affected by flooding and devastating winds caused by major hurricanes, including three hurricanes that consecutively made landfall in late FY 2017. Judicial and detention facilities and agency offices in affected areas were forced to close due to power outages and water or structural damage. Security and access systems were rendered inoperable.

**Mission response** Over a nine-day period in late FY 2017, the USMS evacuated 1,443 Bureau of Prisons (BOP) and USMS prisoners from affected sites to nearby districts. These prisoner evacuations increased the USMS prisoner population by more than 300 percent in one instance, and required the immediate redistribution of resources to support these transfers. Additional personnel were needed to secure and oversee prisoners and coordinate and update prisoner management systems to properly track prisoners and resources. More than 2,500 existing prisoner movement requests were placed on hold due to the redistribution of resources. These efforts closed a fiscal year that began with the evacuation of the agency's training facility that stood in Hurricane Matthew's direct path.

**Emergency response** The USMS deployed 266 personnel as part of its responsibilities under the Emergency Support Function of the Federal Emergency Management Agency. Those deployed provided force protection to urban search and rescue teams and disaster medical assistance teams, as well as supplemental assistance in the enforcement of state laws. They also led the agency's incident response and staffed its Mobile Command Centers, which served as forward deployed operational

command posts. Justice Prisoner and Alien Transport System (JPATS) transported the law enforcement personnel critical to the agency's Emergency Support Function mission.

**Employee crisis management** More than 130 employees were personally affected by the impact of these hurricanes. In support of these affected personnel, the USMS delivered more than 81,000 pounds of water and supplies, and provided safe haven transportation to dependents of USMS, BOP, and U.S. Court personnel. Human resources staff resolved issues for those affected as well as those who volunteered to support the Federal Emergency Management Agency response. Agency employees also donated leave to affected colleagues.

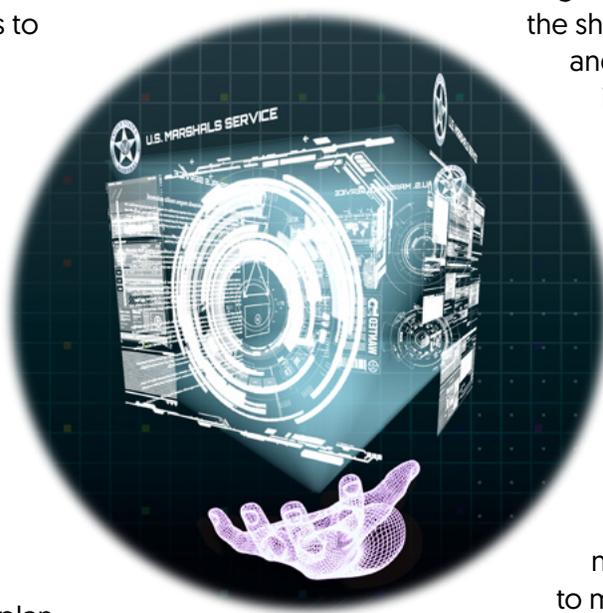
**Impact mitigation** Significant investments in infrastructure, training, and partnerships proved to lessen mission impact of natural disasters like those experienced in FY 2017. The USMS's strategic initiative to ensure its mobile workforce has access to networks and communications enabled personnel to continue their vital work in protecting the federal judicial process and conducting investigations. The strategic emphasis on providing timely and quality training assured relevant skills and up-to-date knowledge on agency systems and procedures and, most importantly, little downtime in initiating critical responses. Finally, the USMS's commitment to partnering across agencies at all levels in furtherance of its missions ensured the success of interagency communications and coordinated initiatives. As an agency that prioritizes learning, the USMS will incorporate lessons learned in responding to the events of FY 2017 in its planning, training, and policy development.

# DRIVING TRANSFORMATIONAL CHANGE ACROSS THE AGENCY

The U.S. Marshals Service's 2012-2018 Strategic Plan created ambitious goals for the agency across all of its mission areas. Perhaps one of the most ambitious of these goals was the development of a performance management culture. To accomplish this, the USMS has invested significant time and resources to build systems, data expertise, and technological capabilities to benefit all program areas. These investments have created a network of experienced and knowledgeable leaders who apply new skills and technological capabilities to the agency's day-to-day operations and long-term planning activities. The agency's main initiatives to drive transformational strategic change are described below.

## Strategic Performance Management

To establish and achieve the agency's strategic goals and objectives identified in its strategic plan, the USMS implements a strategic performance management system. As the foundation for evidence-based decisions, this system prioritizes the efficient collection, storage, and use of data to produce consistent reporting, strategic thinking, and data-driven decision making. The USMS relies on this system to formulate budget requests, establish performance measures to inform external stakeholders, manage uncertainty through enterprise risk management, and establish performance work plans and evaluations. On a quarterly basis, executive and division leadership meet to discuss performance in executing agency missions and achieving its strategic goals.



**Enterprise Data Analytics** Enterprise data analytics enables decision making across different subject matters. The agency is prioritizing the use of cross-mission and cross-division data analytics to produce savings, identify and mitigate risks, and contribute to strong enterprise business decisions. To further integrate data analytics into the USMS culture, the agency hosts monthly meetings designed to connect personnel who are currently using or are interested in using data analytics. At these meetings, technical tutorials facilitate the sharing of methodological and skill-based knowledge, institutional knowledge, and best practices.

## Data Governance

Data governance increases organizational productivity and efficiency as it ensures user awareness of data elements and fields in a system and reduces redundant work. It is a necessary piece in order to manage data as an asset throughout the enterprise. To produce and maintain a system that permits the collection, storage, and use of clean, authoritative data, the USMS appointed data stewards who meet frequently to collectively define terms and standards for the enterprise.

**Mission-critical case management** The agency's new enterprise case management system, Capture, is a direct result of, and a main contributor to, a performance management culture. Capture is designed to revolutionize the way the agency manages prisoners and prisoner facilities, conducts investigations, and manages security logistics, while including capabilities in analytics, mobility, and other cross-cutting functions.

## AWARD-WINNING U.S. MARSHALS SERVICE PROGRAMS AND PERSONNEL

**Fugitive Apprehension** DUSMs from the Southern District of Georgia, along with 10 members of the Southeast Regional Fugitive Task Force, received the Federal Law Enforcement Officers Association’s Heroism Award in recognition of their actions in locating and arresting a fugitive. USMS awardees Deputy Commander Patrick Thomas Carothers (Posthumous Honoree), DUSM Robert Charles Doherty, DUSM James Fitzhugh Turner, and Supervisory DUSM Ramiro Suarez, Jr. participated in a November 2017 fugitive apprehension task force, led by Deputy Commander Carothers. During the confrontation with the fugitive, Deputy Commander Carothers was shot multiple times. He was able to return fire, protecting his team, before succumbing to his wounds. Task force members risked their lives attempting to save Deputy Commander Carothers. In his actions, Deputy Commander Carothers showed the courage and sacrifice that defines leadership and heroism, and the actions of his team under extreme duress showed extreme bravery and dedication to the mission.

**Critical Incident Response** In April 2017, the Office of Crisis Services’ Critical Incident Response Team received the International Critical Incident Stress Foundation’s Community Service Award at the 14th World Congress on Stress, Trauma and Coping in Baltimore. The team received the award for making a significant contribution to their community through crisis response. One of the oldest continuing operating crisis management teams in existence, this team has grown from a small group of dedicated law enforcement officers to a nationwide 60-member team and nationally recognized leader in its field. National recognition of the USMS Critical Incident Response team aids in the acceptance of critical incident stress intervention programs, particularly among the law enforcement community.

**Prisoner Transport** JPATS continues to lead its peers across federal aviation operations and safety. As a result of the program’s aviation support quality and exceptional safety record, JPATS Aviation Safety Management Team received the USMS Director’s Distinguished Group Award. Additionally, Chief of Aviation Scott Wilhelm was named the 2017 Aviation Program Manager of the Year by the General Services Administration and the Interagency Committee for Aviation Policy.

**Asset Forfeiture** Two asset forfeiture financial investigators received recognition for their efforts to identify and seize financial assets from individuals found guilty of criminal activity. Mike Nelson was recognized by the U.S. Attorney’s Office during its annual awards ceremony for his contributions involving the Travelers of Murphy Village, South Carolina. The Travelers were under investigation by federal and state authorities for millions of dollars of fraudulent welfare benefit, tax, and insurance claims, as well as money laundering. To date, the investigation produced 57 plea agreements to charges of racketeering and conspiracy to commit fraud. Mike McClung was recognized by the U.S. Postal Service’s Office of the Inspector General for his investigative contributions to the AmeriMed health care fraud case that led to the successful prosecution of four defendants and the seizure and forfeiture of \$3 million dollars in fraud proceeds.

**Management Support and Human Resources** The USMS was recognized for its efforts to promote a variety of transportation options and decrease reliance on single occupancy vehicles from Arlington County, Virginia, which is home to USMS headquarters, with the Arlington County Platinum Champions award.

# GOAL 1: PROTECTION OF THE JUDICIAL PROCESS

TO PROTECT THE FEDERAL JUDICIAL PROCESS, THE U.S. MARSHALS SERVICE PROVIDES SECURITY TO FEDERAL JUDGES, PROSECUTORS, WITNESSES, AND COURT FACILITIES



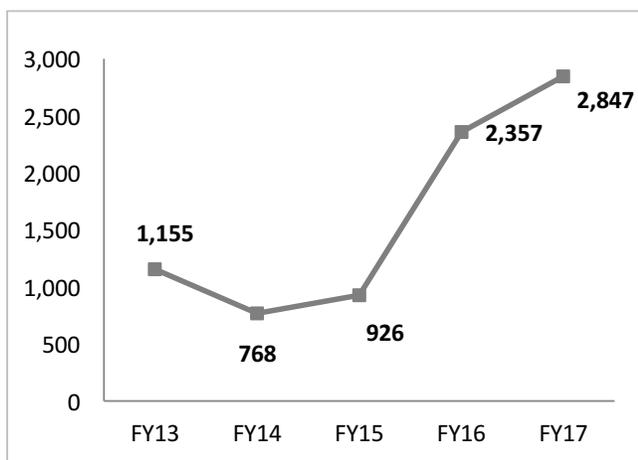
**In FY 2017, the agency achieved significant progress towards improving performance across its judicial and court security missions. Critical investments were made in personnel, partnerships, and technology to enhance intelligence capabilities. The agency also radically changed its approach to managing its most important physical security infrastructure. Finally, the agency secured the additional resources needed to execute a high volume of complex protective service operations. Strategic efforts were made to reinforce a security-minded and intelligence-driven culture, empower the workforce and the organization to perform to the highest standards, develop state, local, and tribal law enforcement capacity, enhance the rule of law around the world, and improve officer safety.**

## MISSION: JUDICIAL PROTECTION AND COURTHOUSE SECURITY

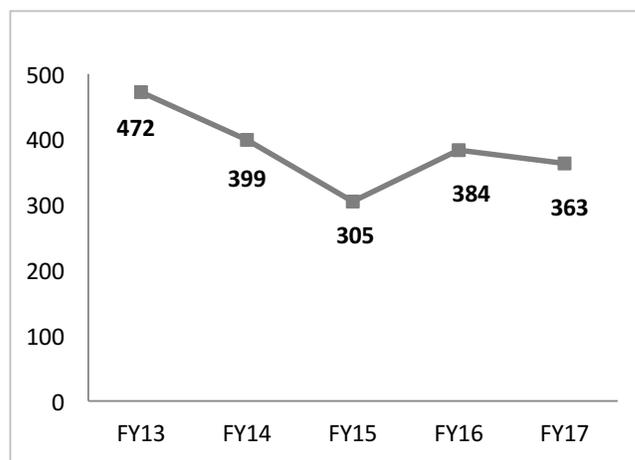
Since its establishment in 1789, a primary function of the USMS is the protection and security of the federal judicial process. The Judicial Protection and Courthouse Security mission comprises protective service operations, the collection and analysis of information to develop actionable intelligence, and the management of personnel and infrastructure protecting federal judicial facilities. The USMS carries out protective responsibilities for more than 2,200 federal judges, 11,000 federal prosecutors, and 15,000 court officials, along with members of the public who visit and work in federal courthouses. As the physical security provider to more than 700 federal facilities, the USMS develops, manages, and implements security systems and screening equipment to protect each courthouse.

**MISSION PROGRAM DATA**

**Figure 1** Inappropriate Communications/Threats to Protected Court Members



**Figure 2** Threats to Protected Court Members Investigated



While all threats directed toward USMS protected personnel are investigated, Figure 2 depicts only those which rose to the level of a predicated protective investigation, the most significant form of protective investigations.

### Strategic Objective: Reduce the potential for harm to protected persons through preventive security measures and implementation of a threat-based protective methodology

The USMS reduces the potential for harm to protected persons by implementing preventive security measures shaped by known security risks and vulnerabilities. In FY 2017, the agency developed a protective operations training program, facilitated security awareness among stakeholders, and conducted intelligence-driven protective service operations. The agency’s threat-based protection model is one that is informed by continuous assessments of the ever-evolving motive, intent, and ability of the potential attacker. It allows for realistic assessments of risks to protected persons and serves as the basis for risk reduction and risk mitigation strategies. The agency conducts such risk assessments primarily through its preliminary assessments and predicated protective investigations [see Mission Program Data].

**Developing comprehensive protective operations training:** In FY 2017, the U.S. Marshals Service developed an eight-day Protective Service Training Program which builds on the protective services operations principles taught during basic training for DUSMs. Subject matter experts from across the agency participated in the program’s design and identified 13 discrete competencies, including briefing protected persons, conducting threat and vulnerability assessments, and using less-than-lethal defensive tactics. The program will be piloted in FY 2018. It will serve as an annual training opportunity for USMS district personnel and annual cyclical training for inspectors responsible for planning and executing protective operations missions.

**Reducing risk through security awareness:** The USMS allocates significant resources to promote security awareness in order to reduce risks to its protected persons. Educating protected persons on security

procedures empowers them to take actions that reduce their exposure to risk, equips them to detect and report threats, and reinforces the concept of security as a collective responsibility. In FY 2017, agency personnel delivered 27 security awareness briefings to chief judges and nominees to federal courts. These briefings deliver vital information regarding the security resources available to protected persons. Agency personnel also delivered 1,450 foreign travel briefs for 100 destinations. These briefs provide country-specific information regarding the security environment.

**Conducting effective, intelligence-driven protective service operations:** The U.S. Marshals Service has a proven ability to rapidly mobilize resources for protective service operations. In FY 2017, the agency deployed 12 threat-based missions and 504 risk-based missions. The level of effort required to conduct a single mission can be extensive. For example, in July 2017, the agency provided security for the 9th Circuit Judicial Conference, the largest conference of its kind in the country. In attendance were nearly 800 conferees, including more than 200 federal judges. The U.S. Marshals Service mobilized 54 personnel to provide a protective detail for a Supreme Court Justice as well as on-site security for 16 venues over the course of the four-day conference. Agency personnel worked closely with state and local law enforcement, the Federal Bureau of Investigation (FBI), and the U.S. Supreme Court Police to conduct mission planning, gather protective intelligence, and complete protective security advances.

**Strengthening international rule of law institutions:** Agency judicial security personnel participated in five international missions across four continents in FY 2017 as an implementation partner of the Department of State, Bureau of International Narcotics and Law Enforcement Affairs and the Department of Justice (DOJ) Office of Overseas Prosecutorial Development Assistance and Training. These capacity-building missions took place in the Federation of Malaysia, Republic of Albania, Republic of Colombia, Republic of the Philippines, and Republic of Uganda. For Albania's State Police, Agency personnel provided three weeks of basic counter-surveillance techniques to assist in detecting and deterring hostile actors. For the National Police of Colombia, personnel delivered Train the Trainer courses designed to facilitate the transfer of knowledge and skills long after USMS security and intelligence experts have left. This method of knowledge transfer allows foreign law enforcement entities to incorporate their understanding of the local security environment into the courses they teach. The agency also supported the National Police of Colombia's efforts to develop national guidelines and policy for its law enforcement organizations. Finally, the agency provided technical assistance in the form of physical security assessments of judicial facilities in Colombia, Malaysia, the Philippines, and Uganda. The outputs of these assessments are findings that detail specific deficiencies in security as well as concrete recommendations that mitigate risk and reduce vulnerability.

### **Strategic Objective: Increase the effectiveness of USMS intelligence capabilities**

The U.S. Marshals Service continues to build its intelligence capabilities by developing key competencies, acquiring new technology, and forging close partnerships with members of the intelligence community and other law enforcement agencies. These investments have enabled the agency to meet the increased demand for intelligence products.

**Developing key competencies of the investigative workforce:** A world-class law enforcement agency requires extensive training and continuous improvement. In FY 2017, 130 district investigators completed the week-long Protective Investigations Training Program. The program, which is taught by an interdisciplinary team of intelligence research specialists, criminal investigators, and mental health practitioners, provides guidance and techniques for conducting protective investigations, interacting with protected persons, and managing cases. The USMS also sought interagency training opportunities to expand the skillset of the investigative workforce. New counter surveillance/surveillance detection staff attended basic training at the Defense Intelligence Agency Joint Counter Intelligence Training Academy. Intelligence research specialists completed the Basic Intelligence and Threat Analysis Course offered by the Department of Homeland Security (DHS) and the Intermediate Analytic Tradecraft course offered by the FBI's Advanced Intelligence Training Unit.

**Building cyber investigations capability:** To meet modern-day judicial security challenges, the U.S. Marshals Service established the Cyber Investigations Unit (CIU) in FY 2016. Since then, the agency has made significant gains to enhance CIU’s cyber intelligence capabilities. In FY 2017, CIU staff completed a temporary duty assignment in the FBI Multidisciplinary Intelligence Unit where they learned advanced tradecraft techniques. The unit also expanded its investigative resources to include advanced technologies for intelligence activities. Using this specialized knowledge and resources, CIU supported 86 investigations this fiscal year. The investments in CIU capabilities have paid dividends across the agency. In FY 2017, CIU delivered online investigation techniques training to more than 300 Protective Investigations Training Program participants, multiple branches of the agency’s Investigative Operations Division, and several USMS districts. CIU’s specialized knowledge was leveraged to lead the agency-wide initiative to establish interim guidance on conducting online investigations.

**Expanding partnerships with the intelligence community:** The agency’s relationships with members of the intelligence community and other law enforcement agencies serve as an effective force multiplier across many of its intelligence efforts. In FY 2017, the agency created the position of federal senior intelligence coordinator to be accountable for the responsible and appropriate coordination of activities between the USMS and the intelligence community, through the Office of the Director of National Intelligence. This position is an official designation acknowledged by the Office of the Director of National Intelligence. As well, the USMS has senior executive representation as a board member for the National Joint Terrorism Task Force. The USMS worked closely with the FBI Protective Operations Group to share protective intelligence regarding several USMS protected persons of mutual interest. The agency’s counter surveillance / surveillance detection personnel also participated in joint counter-surveillance training with Department of Defense personnel.

**Meeting the need for protective intelligence support at all levels:** The agency witnessed an increased need for intelligence support for protective investigations and protective service operations. Requests for intelligence reports nearly tripled from FY 2016, from 134 to 381, and requests for risk assessments increased

from 5 in FY 2016 to 30 in FY 2017. This dramatic increase, particularly in the area of intelligence reports, can be attributed to USMS efforts to ensure that protective service operations were intelligence-driven. Of the 381 intelligence reports completed, 198 were conducted to support intelligence collection for protective service operations. The agency also conducted five in-person intelligence threat assessment briefs to high-level USMS protected persons. In FY 2017, the agency’s executive leadership began receiving daily intelligence briefings that provide high-level intelligence designed to increase leadership’s insight into the current threat environment.

INTELLIGENCE-BASED  
DECISION MAKING

Beginning in FY 2017, the agency requires districts to submit a preliminary assessment along with any request for special assignment funding. The intelligence assessment provides justification for the additional resources requested and ensures that protective service operations are intelligence-driven.

**Strengthening governance of intelligence activities:** A strong governance operating model improves coordination among stakeholders, increases effectiveness, and brings clarity to decision-making. In FY 2017, judicial security personnel led the agency-wide effort to charter an Intelligence Governance Board that would provide a framework for USMS intelligence activities. The first of its kind, the USMS Intelligence Governance Board serves as a forum for knowledge-sharing and intelligence policy development. It will also set norms for engaging members of the intelligence community, codify definitions, and establish agency-wide business processes.

**Improving organizational knowledge management:** To be better prepared to weather periods of transition, the USMS prioritized the preservation of institutional knowledge by developing standard operating procedures (SOPs), resource libraries, and business process architecture diagrams. To ensure the most effective administration

**USMS K9 PROGRAM**

Critical partners in protective operations are the U.S. Marshals Service’s canines trained to detect explosives. Since 2001, this program has provided dedicated explosives and weapons detection in support of DOJ, USMS, and federal, state, and local law enforcement missions and numerous large-scale national special security events. Daily, U.S. Marshals Service explosive detection K9 teams conduct facility security sweeps for explosives and weapons at federal courthouses across the nation and serve as a strong visual law enforcement deterrent at these facilities.

Explosive detection K9s are trained to detect 19,000 different types of explosives, including weapons and post-blast material. These K9 teams have also successfully located weapons during search warrant executions, which assist in successful prosecutions. The 21 K9 teams deployed a total of 1,453 times in FY 2017 to assist with investigative searches (202), protective searches (989), and educational and training demonstrations (262). As a result of these searches, the K9 teams uncovered more than 300 instances of previously unidentified firearms, ammunitions, shell casings, and post-blast residue.

Due to the success of this program, the USMS has developed another program, tactical K9s, to enhance search capabilities and reduce injuries during fugitive apprehensions. Tactical K9s are trained to be familiar with Agency task force procedures, identify the presence of a suspect in an un-cleared structure, and track, locate, and contain fugitives or suspects who have evaded arrest. In FY 2017, the agency’s two pilot tactical K9 teams deployed 193 times almost exclusively in support of enforcement operations.

of its inter- and intra-agency obligations, the agency codified existing exchanges and identified priority partners with whom to establish Memoranda of Understanding (MOUs). As part of this endeavor, the agency established a library to house its judicial security MOUs with the Departments of Education, Health and Human Services, and Homeland Security, the General Services Administration, the Administrative Office of the U.S. Courts, Executive Office of the U.S. Attorneys, the U.S. Tax Court, and Interpol. For its judicial security mission, the agency developed SOPs for data collection and validation as well as standardized and centrally housed other mission-related SOPs.

**Strategic Objective: Strengthen the Judicial Facility Security Program to ensure efficient and effective court security**

In FY 2017, the U.S. Marshals Service took decisive actions to improve its Judicial Facility Security Program by increasing organizational capacity, accountability, and the effectiveness of methods designed to achieve program objectives.

**Develop a long-term strategy to ensure the USMS has the capabilities to address complex physical security issues**

**Building the capacity of state, local, and tribal law enforcement partners:** To support DOJ Strategic Goal III: Ensure and Support the Fair, Impartial, Efficient, and Transparent Administration of Justice at the Federal, State, Local, Tribal, and International Levels, the agency developed the State and Local Facility Assessment Program and the Mobile Assessment Team. The Mobile Assessment Team is composed of 16 judicial security inspectors strategically located to assist state, local, and tribal governments in facility assessments. Each team member has successfully completed the DHS Physical Security Training Program.

**Creating a well-aligned organization:** To this end, in FY 2017, the agency merged two safety and security offices to eliminate redundancies and streamline processes for and management of security-related projects. This merger was identified and undertaken as part the Office of Management and Budget’s (OMB) Agency Reform Plan initiative.

**Assess the CSO workforce and hiring practices to ensure mission needs are being met**

**Improving communication with stakeholders of the CSO Program:** In FY 2017, the agency established new avenues for formal communication with CSO Program stakeholders. To improve communication with CSO vendors, judicial security leadership established a biannual CSO Round Table and revised procedures for

corresponding with CSO vendors. To improve communication to the field, monthly CSO staffing reports are being sent to USMS districts.

**Ensuring accountability for CSO performance:** Consistent enforcement of security policies and procedures contributes to a security-minded culture. One method used to monitor compliance with such policies and procedures is covert physical intrusion testing of CSOs at screening posts located in judicial facilities. During these tests, CSOs are unknowingly tested on their ability to apply appropriate screening techniques. Those who fail the test are issued a performance standard violation, which precludes them from resuming their CSO responsibilities until successful

completion of remedial training. In FY 2017, the agency conducted 1,762 intrusion tests and issued 37 performance standard violations to CSOs for failed covert physical intrusion tests. The agency is committed to proactively identifying and addressing security vulnerabilities.

DATA-DRIVEN PERFORMANCE MANAGEMENT

A data-driven culture promotes informed decision-making and leverages data to improve organizational performance. Fostering a data-driven culture requires investments to enhance data literacy and accessibility. To improve data literacy, concepts on data collection, data integrity, and performance metrics were introduced into the week-long course on protective investigations. To improve data accessibility for USMS districts, the agency developed performance reports that depicted each USMS district's level of compliance with USMS policy directives related to case management. Agency personnel delivered these reports to USMS districts in training environments to highlight areas of strength and areas for improvement.

**Modernize Physical Security Access Control Systems** Physical Security Access Control Systems are used to safeguard judicial facilities through video surveillance, intrusion detection, and facility access controls. In FY 2017, the U.S. Marshals Service took a series of measures to improve the management of these vital systems. Among these was the implementation of a risk-based and intelligence-driven model to prioritize projects across the country. The model, which incorporates historical system performance data, system age, threat intelligence, and facility attributes, ensures that those systems with the highest risk are identified and prioritized for maintenance, upgrade, or replacement. This approach enables the agency to make informed decisions that mitigate the highest risk and address the most urgent vulnerabilities. Using this approach, the agency completed two repairs, 11 upgrades, and 13 replacements this fiscal year.

**Strategic Objective: Improve the management and structure of the judicial security mission set**

Improvements to the management and structure of the judicial security mission set generate better performance outcomes.

**Re-evaluate offsite security requirements, asset costs, and protocols to address current and future needs**

**Re-evaluate Home Intrusion Detection System (HIDS) Program:** In FY 2017, the agency established a transparent and consistent process to allocate HIDS resources based on real-world security considerations. Prior to this, HIDS program administration lacked established controls for fair and equitable resource distribution that resulted in expenditures that were not based on risk or threat prioritization. This new process includes new policy, standardized procedures, business rules, and data collection points that will inform the management, oversight, and operational efficiency of the HIDS program, and improve collaboration between the USMS and the Administrative Office of the U.S. Courts.

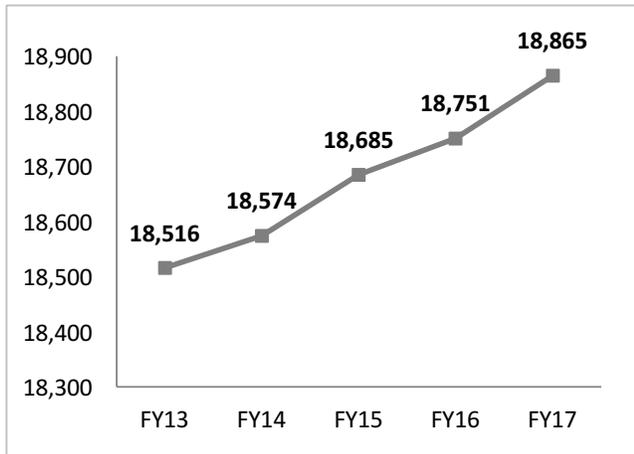
**Identifying emerging technologies for Judicial Alarm Response Program:** In FY 2017, the agency researched and identified solutions to replace obsolete GPS tracking devices that support the judicial duress alarm response program. The solution was a GPS tracking suite that uses a mobile device application. The agency completed the transition of protected persons' devices from the old Asset Tracking Location and Surveillance System network to the new Silvereye network and the mobile application.

## MISSION: WITNESS PROTECTION

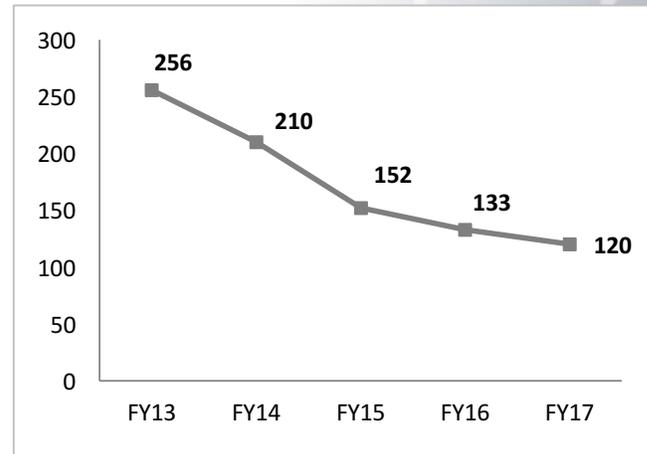
The Witness Security Program enables the U.S. Government to pursue and prosecute criminals ranging from a single actor to organized crime, gangs, or terrorist groups. In 1971, the USMS was tasked with the protection of witnesses whose lives are threatened as a result of their testimony based on the 1970 Organized Crime and Control Act. Witness protection is provided in different phases and on many fronts to ensure witnesses and their families' safety before, during, and after trial proceedings. The program is assessed on a continuous basis in order to provide timely services and to identify areas for improvement.

**MISSION PROGRAM DATA**

**Figure 3 – Total Number of Witness Security Program Participants**



**Figure 4 – Security Breaches Mitigated**



### Strategic Objective: Manage the complexities of protection

Providing long-term protection and security for witnesses entering into the program has become very challenging and complex. The program must be flexible to accommodate increasing foreign national protectees, changing prosecutorial objectives, and the proliferation of social media technological enhancements such as geo-tagging and GPS.

#### Define levels of service, potential growth, and impact to resources

**Employing technology for more efficient court appearances:** To achieve safer communications between prisoner witnesses and Assistant U.S. Attorneys, the USMS deployed video teleconference technology in the protective custody units located within the BOP. The agency completed installations at six locations and worked with BOP partners to ensure the appropriate circuits, software, and hardware were operational. To ensure appropriate protocols were followed and financial responsibilities outlined, the original video teleconference MOU was updated and expanded to allow use of this technology for state parole hearings. Video teleconferences eliminate some of the need for prosecutors and prisoner witnesses to travel, resulting in cost savings. More importantly, it improves the safety of personnel as well as the safety of witnesses.

**Building federal and state witness security partnerships:** The U.S. Marshals Service reached out to state and local witness protection specialists to identify low-cost enhancements to improve their witness protection programs, and to facilitate the provision of state and local documentation to USMS witness security participants. This outreach included workshops with local stakeholders to exchange information, understand state and local current protection processes, and develop a comprehensive list of support requirements. Through this project, state and local stakeholders implemented realistic and inexpensive improvements to protect their witnesses while increasing the safety of the state and local witness protection specialists. Additionally, the project developed an internet portal using the FBI's Law Enforcement Enterprise

Portal website for collaboration and remedied the lack of a network for investigators specializing in witness protection. The USMS established a strong partnership across the state and local witness protection community and improved the ability of the agency to deal with future documentation difficulties.

**Strengthening monitoring of non-citizen program**

**participants:** During FY 2017, the USMS strengthened its processes to monitor changes to the immigration status of non-citizen witness security participants. The new process enables the agency to provide Immigration and Customs Enforcement (ICE) and the DOJ Office of Enforcement Operations with faster notifications, allowing for swift decisions regarding a participant’s immigration status and standing in the program.

**INTERNATIONAL ENGAGEMENT**

In FY 2017, the agency commenced a partnership with Europol to co-lead annual conferences on witness protection. The inaugural conference will begin in 2018, and future conferences will alternate between a European and a North American location.

USMS personnel engaged partners from the United Kingdom, Lithuania, Egypt, Lebanon, and Israel to share best practices in witness security. The agency also offered its expertise to the Government of Poland to assist with improving its witness security operational capacity.

# GOAL 2: INVESTIGATIONS

TO STRENGTHEN THE EFFECTIVENESS OF DOMESTIC AND INTERNATIONAL INVESTIGATIONS



**The U.S. Marshals Service conducts fugitive and noncompliant sex offender investigations, as well as financial investigations to identify assets gained from the proceeds of criminal activity. These varied missions require collaboration with federal, state, and local law enforcement agencies, foreign governments, and mission-driven nongovernmental organizations. This fiscal year, USMS investments in investigations focused on activities such as crime prevention in communities experiencing high levels of violent criminal activity, missing child recovery, sex offender tracking, and financial reimbursement and pre-emptive protection for victims of crime.**

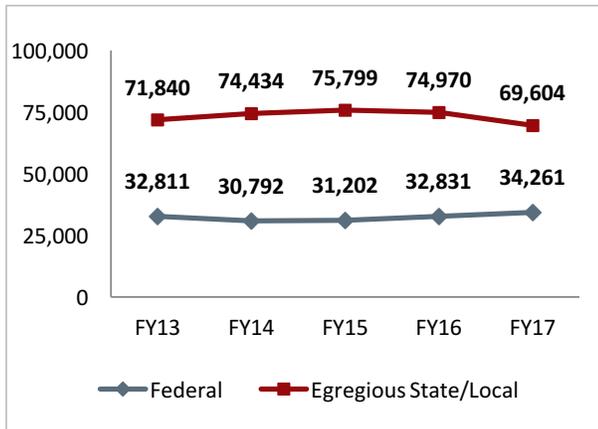
## MISSION: FUGITIVE APPREHENSION

Fugitive apprehension is a principal USMS mission and has the greatest opportunity to improve public safety by reducing the number of violent offenders in America’s communities. As the federal government’s primary agency for conducting fugitive investigations, the fugitive apprehension mission consists of domestic and international fugitive investigations, including fugitive extraditions and technical operations. The USMS has the authority to enforce the Fugitive Felon Act and may assist state and local agencies with their fugitive missions, even in the absence of interstate or other extra jurisdictional flight. Through interagency fugitive task forces, international operations, information-sharing programs, and close cooperation with other federal, state, local, tribal, and territorial law enforcement agencies, the USMS facilitates the timely apprehension of dangerous fugitives and helps preserve the integrity of the criminal justice system.

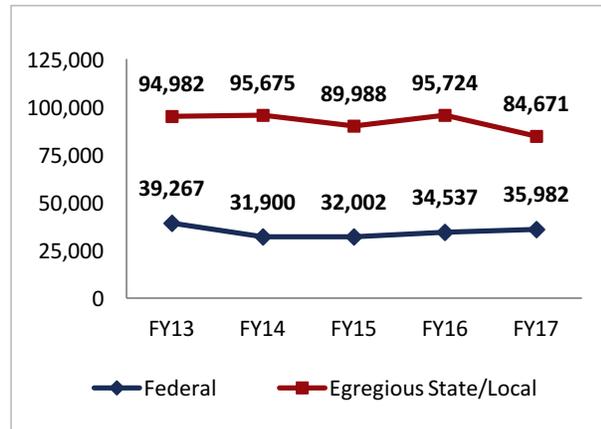
The USMS serves as the custodian of all federal arrest warrants until execution or dismissal and maintains a federal fugitive caseload of approximately 50,000 each fiscal year. Over the last decade, the USMS has apprehended or cleared more than 354,700 federal fugitives, including 34,261 in FY 2017.

MISSION PROGRAM DATA

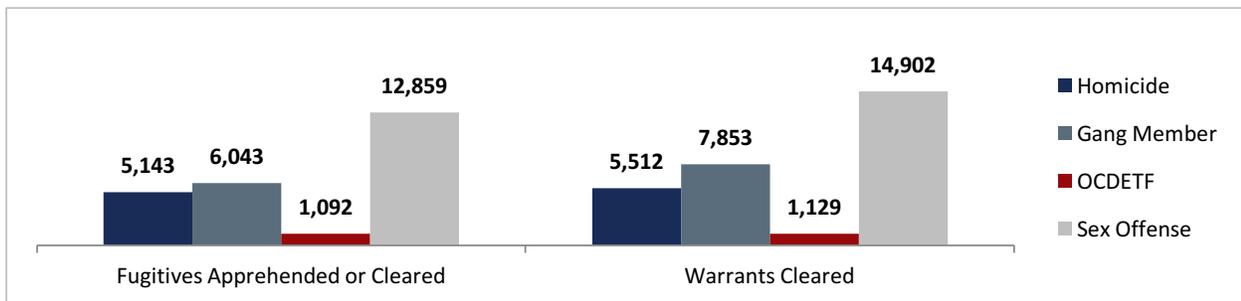
**Figure 5 – USMS Federal, State, and Local Fugitives Apprehended or Cleared**



**Figure 6 – USMS Warrants Cleared**



**Figure 7 – FY2017 Special Subtotals, USMS Federal and Egregious State and Local Fugitives Apprehended or Cleared**



**Table 1 – USMS Seizures from Fugitive Investigations, FY2013-FY2017**

	Firearms	U.S. Currency (\$)	Vehicles	Narcotics (kg)
FY17	3,743	10,054,918	156	1,050.18
FY16	3,563	5,602,294	119	7,802.38
FY15	2,971	18,270,249	133	1,996.93
FY14	2,896	6,621,112	135	3,259.97
FY13	2,400	7,325,123	153	4,540.37

**Strategic Objective: Maximize the efficiency of fugitive apprehensions**

The USMS manages its investigative resources and invests in strategies to achieve the greatest programmatic gain to increase public safety. To have the greatest impact in U.S. communities, the fugitive apprehension program focuses on the most violent, most egregious federal, state, and local offenders.



DUSMs and their state and local law enforcement partners conduct a briefing before an enforcement operation.

**Allocate resources efficiently to maximize effectiveness**

**Preventing violent crime in tribal communities:** In April 2017, DOJ created an interagency Indian Country Federal Law Enforcement Coordination Group to enhance the response to violent crime in Indian country. As one of the 12 participating members of the coordination group, the USMS established a working group to institute practices to maximize the agency’s impact in tribal communities. This group provides improved federal law enforcement services and support to Indian Country, ultimately helping to make tribal communities safer.

**Reducing gang crime and violence:** The USMS continues to prioritize the apprehension of violent gang members, and in FY 2017, the agency arrested 6,043 gang members, removing 719 firearms from the streets in the process. The USMS combats gang violence using a two-pronged approach that consists of dedicated fixed resources such as seven regionally-located Counter Gang Units and district task force operations, and by infusing mobile, temporary resources to conduct targeted operations focused on the sustained reduction of violent crime. The USMS gang enforcement model aims to reduce gang crime and violence through coordination with federal, state, and local law enforcement agencies, the U.S. Attorney’s Office, and state and local prosecutors’ offices. The model focuses on proactive investigation and patrol by strategically pursuing gang members and criminals most responsible for a community’s crime and violence.

**Table 2 – FY 2017 Violent Gang Fugitives Arrested/ Cleared, by Select Criminal Activity**

Criminal activity	No. of arrests
Homicide	553
Robbery	641
Assault	802
Kidnapping	69
Sex offense	129
Weapons offense	1,013
Narcotics	1,080

**DATA SHARING**

In FY 2017, the agency became a contributor to the FBI's Uniform Crime Reports program, providing aggregate arrest data for Calendar Year 2016 for USMS federal and state arrests.

**Formalize the roles and responsibilities for the support and oversight of domestic investigations** In FY 2017, the U.S. Marshals Service finalized a comprehensive plan to expand the number of regional fugitive task forces to more effectively apprehend violent fugitives. Following an extensive assessment to determine the optimal organizational structure and placement of these new task forces, the agency developed plans to expand the existing seven regional fugitive task forces and create eight new regional fugitive task forces, as resources are made available.

**Increase investigative capability and agility through non-traditional methods**

The agency's Organized Crime Drug Enforcement Task

Force program was restructured to provide clearer direction and scope of responsibility for its investigators, and a more responsive, cohesive, and focused use of resources. This restructuring established a regional management system to provide programmatic oversight, guidance, and training, and created metrics to measure program performance. The program relies on district fugitive apprehension participation to accomplish its principal mission of reducing drug availability by disrupting and dismantling major drug trafficking and money laundering organizations.

**Strategic Objective: Ensure the stability and safety of USMS international investigative missions and strategically expand the USMS footprint and capabilities around the globe**

The globalization of crime and immediate mobility of fugitives require an intensive effort from law enforcement to address the increasing number of fugitives wanted by the United States who flee to a foreign country to avoid prosecution or incarceration and those wanted by a foreign nation but are believed to be in the United States. As other federal law enforcement agencies commit more resources to terrorism, cyber-based threats, transnational criminal organizations, and border security, the USMS fugitive apprehension role takes on greater importance. The USMS protects the public from international fugitives through coordinated enforcement efforts with foreign and domestic law enforcement by:

- Directing and coordinating international and foreign fugitive investigations conducted by USMS personnel and its task force partners.
- Managing and executing the U.S. Government's extradition program on behalf of federal, state, and local law enforcement agencies.

**STRENGTHENING INTRA-AGENCY COLLABORATION**



In FY 2017, the USMS benefited from a new collaboration between its prisoner transport division and investigative staff working on international extraditions. The agency accomplished several extraditions from Colombia and Jamaica using USMS assets and personnel rather than a contracted service. In addition to providing savings, extraditions benefited from the experience and professionalism of USMS employees who perform air movements on a daily basis.

These coordinated enforcement efforts are facilitated by the presence of three foreign field offices, a foreign law enforcement training program, and international liaison program. The agency also maintains liaison positions with the Interpol U.S. National Central Bureau-Washington, DOJ's Office of International Affairs, the El Paso Intelligence Center, and the Department of State Diplomatic Security Service.

In FY 2017, the USMS closed 2,527 international and foreign fugitive cases, requiring investigative coordination with 92 countries, a significant increase from the 1,510 cases and 53 foreign countries requiring coordination during FY 2016. Of these, 1,251 cases involved fugitives wanted by the United States who had fled to a foreign country to avoid prosecution or incarceration. The remaining 1,276 cases involved fugitives wanted by a foreign nation but were believed to be in the United States. Finally, the USMS conducted 780 removals, slightly more than FY 2016 levels, including extraditions, foreign extraditions, deportations, and expulsions, through coordination with 67 foreign nations.

**Develop a strategy to increase the breadth of foreign fugitive cooperative relationships**

The USMS standardized and professionalized its international investigative mission by establishing the Collateral Duty International Liaison Program, which included creating SOPs and developing performance metrics. The program enables cross-border investigations and assists in locating foreign fugitives who have committed crimes abroad and are believed to have fled to the United States to avoid detection. Currently, investigative liaisons for Canada, Mexico, and Interpol are placed in strategic locations throughout the country to manage, coordinate, and conduct complex investigations. These investigators are subject matter experts who provide technical and operational guidance to federal, state, local, and foreign law enforcement partners on USMS international and foreign fugitive investigations.

**Establish a formal Personnel Recovery Program** Presidential Directive 30 requires that federal agencies with overseas responsibilities provide personnel recovery preparation, education, and training programs for their employees. The Directive also requires individual and organizational protective security measures to ensure interoperability of communications systems. To ensure compliance, the U.S. Marshals Service developed a Global Threat Awareness Program to train agency personnel traveling on official government business to foreign countries in the event they become isolated, missing, detained, or captured in an operational environment. Additionally, the USMS established a Memorandum of Agreement with the Departments of Defense and State to establish protocols and procedures in the event a USMS employee is subject to such an incident. For this training program, the agency developed and launched a basic personnel recovery course and an advanced twelve-day course designed for USMS personnel conducting operations in high threat countries. In October 2016, the Department of State certified the Global Threat Awareness Course in order to meet the department's requirements for foreign affairs counter threat training. This program was strengthened by an initiative to provide critical support throughout the incident to affected family members of isolated personnel. Family support plays a vital role in returning isolated members to full duty status.

APPREHENDING AN INTERNATIONAL FUGITIVE

In 2014, Greenwich, Connecticut Police contacted the U.S. Marshals Service for assistance to apprehend a fugitive, Naquan Ferguson. Ferguson failed to surrender after his conviction for armed robbery and other charges. Following an extensive investigation that spanned multiple countries, DUSMs from the District of Connecticut located him in Guangzhou, China.

The USMS sought assistance from the Diplomatic Security Service and Interpol-Washington to obtain cooperation from Chinese authorities. The Chinese Ministry of Public Security apprehended Ferguson and agreed to deport him. On August 25, 2017, DUSMs traveled to Guangzhou to return Ferguson to the United States. This mission marked the first time in 10 years that DUSMs have traveled to China to remove a fugitive.

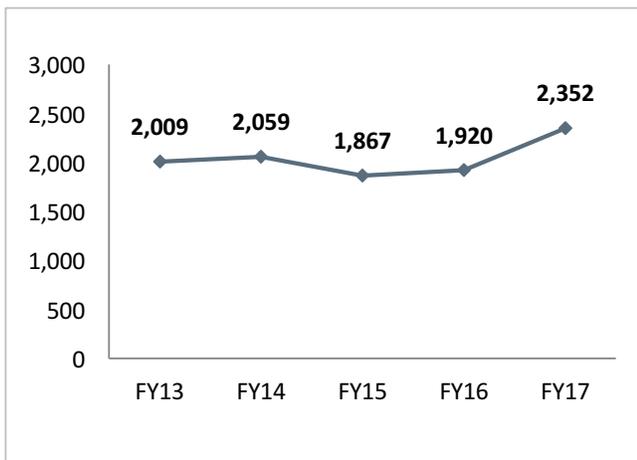
## MISSION: PROTECTING AMERICA’S CHILDREN AND COMMUNITIES

The Adam Walsh Child Protection and Safety Act was signed into law on July 27, 2006, as P.L. 100-248. The USMS was designated as the lead federal agency to investigate violations of the act and given the mandate to assist state, local, tribal, and territorial jurisdictions in locating and apprehending non-compliant sex offenders. As such, the USMS has taken an aggressive approach toward protecting communities from violent sex offenders and child predators by partnering with other federal, state, local, tribal, and territorial law enforcement authorities involved in the regulatory process of registration.

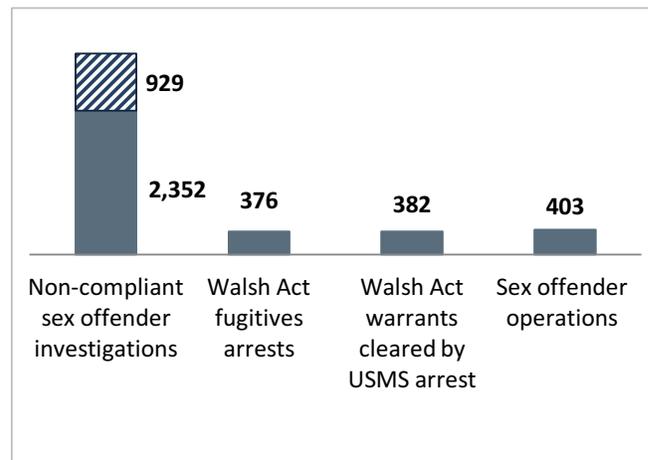
In FY 2017, the USMS supported the Attorney General’s High Priority Goal on Protecting Vulnerable People with investigations of non-compliant sex offenders, including leading and conducting 403 sex offender operations in conjunction with 1,193 federal, state, local, territorial, and tribal law enforcement partner agencies. During the course of these operations, the agency assisted 4,409 officers with 54,759 compliance checks, or approximately 6.35 percent of the 2017 registered sex offender population, which stands at approximately 862,000 [source: National Center for Missing and Exploited Children, May 2017].

**MISSION PROGRAM DATA**

**Figure 8 – Noncompliant Sex Offender Investigations**



**Figure 9 – Adam Walsh Child Protection and Safety Act activities**



Most investigations are conducted by full-time dedicated sex offender investigations coordinator personnel. Additional collateral duty USMS investigators contributed approximately 28 percent to the total investigations in FY 2017.

### Strategic Objective: Protect our children and communities through the rigorous investigation and arrest of non-compliant sex offenders

Through specialized training, targeted programs and funding, enforcement activities, and collaborative partnerships with organizations such as the National Center for Missing and Exploited Children and DOJ’s Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking Office, the USMS significantly supports all levels of domestic, international, military, and tribal law enforcement to pursue unregistered and noncompliant sex offenders.

#### Strengthen USMS investigators’ and state and local task force investigators’ acumen through innovative training and communication

**Implementing training and awareness:** In FY 2017, the USMS conducted two training events designed for new investigators and held advanced training for its 94 sex offender investigations coordinators, which provided experienced sex offender investigators with training on advanced investigative techniques. Additionally, the agency conducted two regional management training events designed to inform regional district managers, supervisors, and

## MISSING CHILD RECOVERIES

In October 2005, the USMS began tracking its support to missing child cases. By March 2014, the agency recovered the 500th missing child. As a result of the May 2015 passage of the Justice for Victims of Trafficking Act, the number of missing children recovered by the USMS increased 166 percent, from an average of 5 recoveries per month to an average of 13.3 recoveries per month. In FY 2018, the agency anticipates recovering the 1,000th missing child.

investigators of the latest information on investigative programs, including sex offenders, fugitives, and missing children. In addition to the training events, the USMS shared best practices and effective strategies for Adam Walsh Child Protection and Safety Act case development and investigation through 12 regionalized meetings held in different locations around the country.

**Institutionalizing recovery of children:** On May 29, 2015, the Justice for Victims of Trafficking Act (P.L. 114-22) was signed into law. The Act enhanced USMS authority to assist state, federal, and local law enforcement with the recovery of missing, endangered, or abducted children regardless of a fugitive or sex offender nexus. Prior to this legislation, the USMS required a warrant for the suspected abductor/companion or a sex offender nexus in order to support missing child cases. To oversee and manage the agency's implementation of its enhanced authority, the USMS established the Missing Child Unit. In FY 2017, the first full reporting period for activities under the new missing

child authority, the agency received 255 requests for assistance in missing child cases from law enforcement and directly contributed to the recovery of 175 missing children. Cases received under the agency's enhanced authority accounted for 42 percent of all missing child requests received and 46 percent of USMS recoveries. The unit also partnered with the Homeland Security Investigations Anti-Human Trafficking Task Force to initiate a pilot project to locate critically missing children who are suspected victims of child sex trafficking in New Orleans and Orlando. The pilot project resulted in the recovery of 41 children and arrest of 27 individuals.

**Helping law enforcement identify signs of child exploitation:** In FY 2017, the U.S. Marshals Service strengthened its commitment to the Interdiction for the Protection of Children (IPC) Program by certifying three agency psychologists as IPC instructors, the first of this type of instructor in the federal government. Agency psychologists assisted with the identification and empirical validation of indicators of child exploitation by conducting hundreds of interviews with law enforcement personnel, trafficking survivors, social workers and child advocacy staff, and others who work in the area of sex trafficking and with abused and exploited children. IPC indicators are the result of a synthesis of these interviews, focus groups, observations, and existing data. Since FY 2014, the U.S. Marshals Service has been collaborating with the Texas Department of Public Safety to implement the IPC Program, which trains officers to identify signs of child exploitation and other forms of abuse during routine encounters with citizens. The USMS also provides research and analytical support to the IPC Program.

**Focus on communities lacking specialized sex offender law enforcement resources** In coordination with the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking and the Office of Tribal Justice, the USMS continued to strengthen communication and coordination among all levels of law enforcement and those entities that assist with the regulatory process of registration in tribal and DOD populations. To improve the ability of those communities to track sex offenders, the USMS conducted four tribal outreach events with 84 attendees from 37 organizations, including 62 attendees from 29 tribal entities. The USMS also conducted three outreach initiatives at military installations to improve communication and collaboration related to military sex offender registration investigations. The events were attended by more than 160 representatives from 17 military units and 27 regional and local law enforcement agencies.

**Improve communication and coordination with federal, state, and local partners regarding international traveling sex offenders** The USMS continues its collaborative role with the DHS's Angel Watch Center as part of its authority under the International Megan's Law (P.L. 114-119). In FY 2017, the USMS processed and directed 1,540 international travel notifications from state or jurisdictional sex offender registries to Interpol. The USMS generated and sent 1,241 international travel notifications to Interpol based on travel information provided by the Angel Watch Center. The USMS has also vetted and confirmed the registration status of 1,511 registered sex offenders with sex offense convictions against minors. In addition, the USMS reviewed more than 111 subjects for federal registry violations based on international travel without notification.

## MISSION: ASSET FORFEITURE PROGRAM

The DOJ Asset Forfeiture Program (AFP) plays a critical and key role to disrupt and dismantle illegal enterprises, deprive criminals of the proceeds of illegal activity, deter crime, and restore property to victims. The USMS is the primary custodial agency of the AFP. In addition to core fiduciary responsibilities associated with the management and disposition of assets valued in the billions of dollars, the USMS also provides vital support to the U.S. Attorneys' Offices and the investigative agencies through enhanced pre-seizure planning and financial investigations. As a world leader in asset management and asset disposal, the USMS AFP also receives requests for technical assistance from countries around the world. These requests range from conducting assessments of a country's asset forfeiture program to providing assistance with the restraint of property both domestic and foreign.

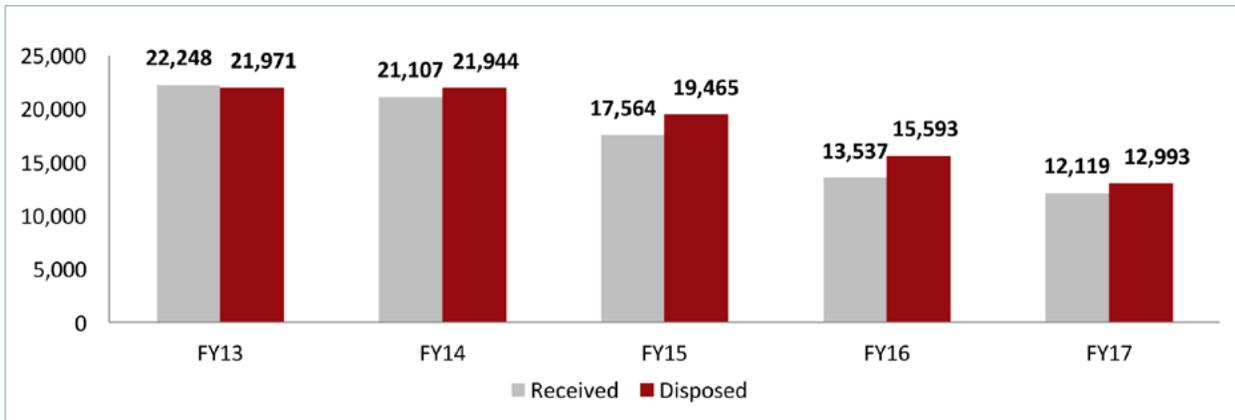
PAYMENTS TO VICTIMS OF CRIME AND FORFEITURE PARTNERS

In FY 2017, the USMS issued more than 800 payments totaling \$144,695,000 to victims who suffered a direct loss caused by the offense underlying the forfeiture actions.

The USMS also processed 28,300 equitable sharing transactions worth \$332,541,000 to approximately 2,425 state and local law enforcement agencies.

MISSION PROGRAM DATA

**Figure 10 – Assets Received and Disposed of by the USMS**



The FY 2017 decrease is largely due to the Bureau of Alcohol, Tobacco, Firearms and Explosives assuming management and disposition of firearms.

**Strategic Objective: Ensure effective financial investigation, management, and disposal of seized and forfeited assets to assist in the achievement of the DOJ AFP goal to disrupt and dismantle criminal organizations**

### Assist the DOJ component agencies to transform the AFP

**Assessing business viability to protect victims:** The USMS assisted the U.S. Attorney's Office and Investigative Agencies in the service of a Post-Indictment Protective and Restraining Order on Ayudando Guardians, Inc. Ayudando Guardians, Inc. provided Guardians and Representative Payee services to clients including those receiving benefits from the Social Security Administration, Department of Veterans Affairs, private trusts, and State of New Mexico. After assessing key business activities, the USMS determined that the business was not financially viable and the process of transferring clients to new agency-approved Guardians and Representative Payee fiduciaries needed to commence immediately. To reassign all accounts and close the business by August 31, 2017, agency staff worked onsite for seven weeks beside the remaining Ayudando staff and official stakeholders to coordinate and execute the needed close out and orderly transfer of the beneficiary clients and accounts to new fiduciaries. Approximately 1,400 accounts were successfully reassigned to new fiduciaries.



The USMS held a two-day live auction in Sparta, Tennessee with more than 5,000 people in attendance to sell tractors, trucks, trailers, farm equipment, and tools in the court-ordered sale of a tractor supply company.

**Seizing assets derived from wire fraud and money laundering:** The USMS, in collaboration with the FBI, coordinated the identification, seizure, and inventory of more than 10,000 items of a tractor supply company in White County, Tennessee. The company owner pled guilty to wire fraud and money laundering which defrauded more than 50 investors in the Middle District of Tennessee, and the court then ordered the USMS to sell the assets. The two-day onsite auction was one of the most widely attended USMS auctions ever with more than 5,000 people in attendance, 1,000 registered bidders, and more than \$1.5 million in sales proceeds.

**Conducting forfeiture financial investigations:** During FY 2017, the USMS directly identified \$8.2 million in assets to be targeted for forfeiture, contributed to the investigative efforts of \$44.2 million dollars in assets subject to forfeiture, and assisted the U. S. Attorney’s Offices in defeating third party claims against \$3.1 million in assets. Through cash payments, established payments plans, and identified assets to satisfy outstanding forfeiture money judgments, the USMS was able to collect more than \$14.8 million in money judgment cases. This amount includes a \$6 million collection towards the outstanding forfeiture money judgment against a former NFL player and his associate who defrauded investors of millions of dollars by claiming that the funds would be used to back high-interest, short-term loans to professional athletes through their Massachusetts-based company. This investment scheme took in more than \$35 million by making fraudulent loans to professional athletes.

**Ensuring proper training in asset forfeiture:** The USMS trains its asset forfeiture employees at the Asset Forfeiture Academy, though the academy is available for all agency training events. In FY 2017, a total of 264 agency asset forfeiture personnel participated in one or more of 11 classes provided by the academy. An additional eight training events supported more than 300 trainees from USMS divisions and DOJ AFP stakeholders. The agency also completed a year-long project to update the online elements of its curriculum from stand-alone recorded webinar videos and online quizzes into a cohesive, 10-module online orientation to asset forfeiture work. The USMS continues to more closely manage and track use of the academy to ensure maximum utilization. Beginning in FY 2018, this process will be made easier with the launch of the agency’s new training request management system that will house the Asset Forfeiture Academy’s training calendar along with all USMS training facility calendars. The training request management system will allow course planners to identify and reserve available training space across all training facilities.

**Expand collaboration between AFP and international law enforcement partners**

**Building stronger forfeiture partnerships:** The USMS has continually worked with Jamaican officials and the DOJ’s Money Laundering and Asset Recovery Section to establish procedures to manage and dispose of U.S. forfeited property located in Jamaica. After two years of negotiations and discussions, in

SEIZURE OF VULNERABLE ASSETS

The USMS continues to actively participate in the DOJ’s animal fighting case initiative. FY 2017 cases resulted in the seizure of 356 dogs in 5 states, the District of Columbia, and Puerto Rico. The majority of forfeited dogs are able to be placed for adoption through different animal welfare associations.

June 2017, this collaboration led to the adoption of changes to Jamaican government policy framework and processes, creating procedures to manage, transfer, and liquidate property located in Jamaica that is forfeited in the United States. These significant changes are an important tool that will allow the first United States forfeited property in Jamaica to be liquidated.

**Assisting foreign countries in asset forfeiture operations:**

USMS participation in the Camden Assets Recovery Interagency Network, Latin America Financial Action Group Asset Recovery Network, and Asset Recovery Interagency Network Caribbean led to 73 requests for assistance to identify foreign assets located in the United States. These networks are informal contacts and groups that focus on all aspects of confiscating the proceeds of crime within their respective regions. Owners of these assets had committed crimes such as abuse of office and corruption, drugs, fraud, money laundering, illegal practice of medicine, weapons trafficking, illegal transfer of parts of engine for military, illicit trafficking in cultural goods, homicide, and Kleptocracy. The foreign requests led to the identification of numerous assets in the United States such as multiple properties in Florida, Georgia, California, Nevada, Maryland, and New York, numerous high-end vehicles, and two retirement plans.

**Strengthening international asset forfeiture capacity:** The USMS assisted international asset forfeiture operations by conducting training on the forfeiture process, to include Asset Management Training in Oman, El Salvador, Guatemala, United Arab Emirates, and Egypt. The USMS hosted foreign nationals at several USMS Asset Forfeiture training courses, including several Jamaican Financial Intelligence Unit Officials attending a Business of Forfeiture training.

INTERNATIONAL ASSET FORFEITURE ACTIVITIES

The USMS international asset forfeiture caseload includes 75 active cases in 31 countries. In FY 2017, the USMS opened 52 new cases and closed 26 cases. Of the 75 active cases, 19 are foreign requests for assistance with assets located in the United States and 56 are cases with assets identified overseas.

# GOAL 3: NATIONAL DETENTION OPERATIONS

TO PROVIDE FEDERAL PRISONER SECURITY, DETENTION, CARE, AND TRANSPORTATION



**USMS detention operations ensure the functioning of the federal judicial system by producing federal prisoners for court appearances. Production of federal prisoners requires housing, care, and transportation, as well as protection while in USMS custody. The agency continues to execute its detention operations mission more efficiently and effectively as a result of investments in information sharing and case management, contract improvement and monitoring, training, and automation of key records.**

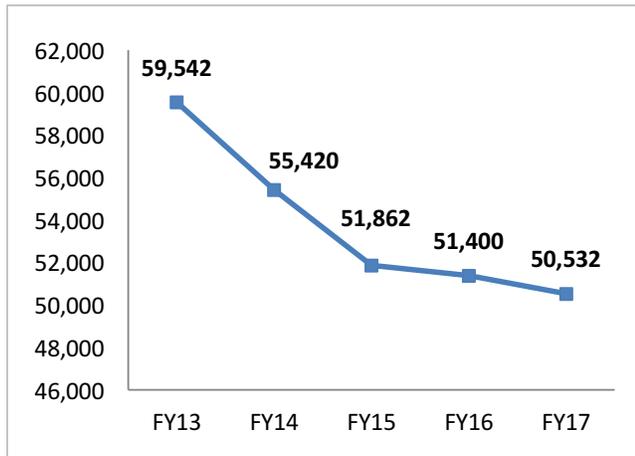
## MISSION: PRISONER SECURITY, DETENTION, AND CARE

The Prisoner Security mission is a complex and multi-layered function, both in scope and execution. The USMS is responsible for national operational oversight of all detention management matters pertaining to individuals remanded to the custody of the Attorney General. The USMS ensures the secure care and custody of these individuals through several processes to include providing sustenance, ensuring secure lodging and transportation, evaluating conditions of confinement, providing medical care deemed necessary, and protecting civil rights through the judicial process.

The FY 2017 detention population declined from its FY 2016 levels. This 1.7 percent decline continues a five-year downward trend and is explained by fewer prisoners received for immigration offenses along the southwest border.

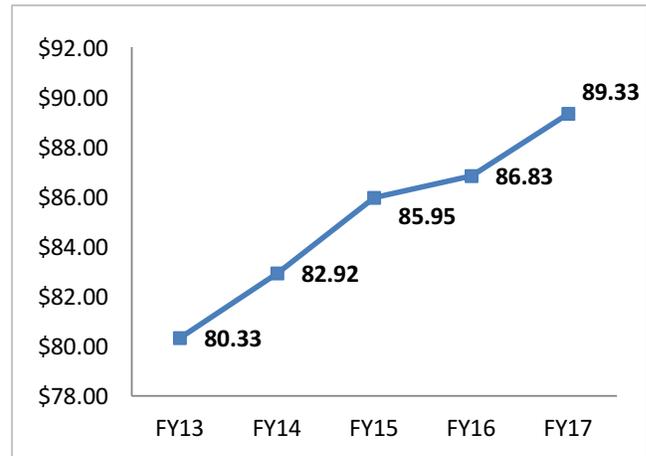
**MISSION PROGRAM DATA**

**Figure 11 – Average Daily Prisoner Population**



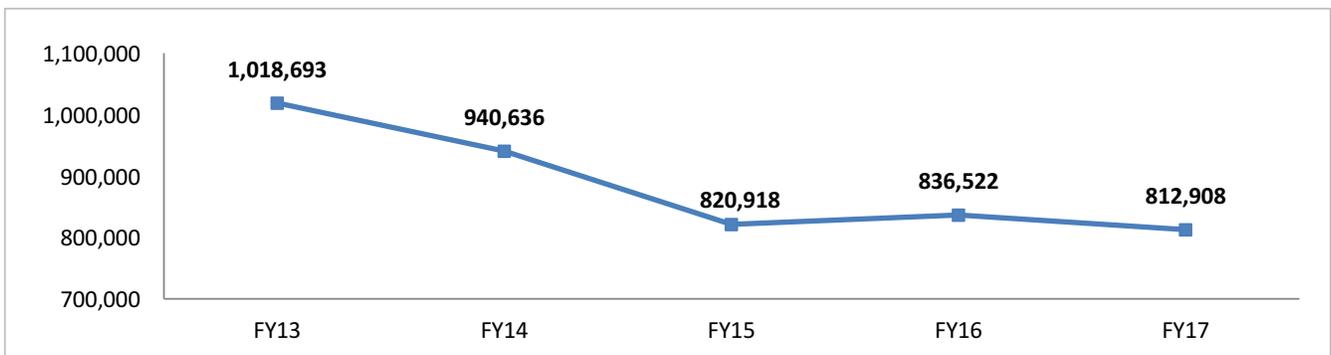
To house the USMS population in FY 2017, the USMS maintained a balanced approach to detention by housing 19 percent of prisoners in BOP detention facilities with beds specifically allocated for USMS use, and 18 percent of prisoners in private facilities under direct contract.

**Figure 12 – Per-Day Detention Costs (in dollars)**



The per day per capita detention cost was \$89.33 or 1.45 percent above the projected level of \$88.05 and 2.9 percent above FY 2016 costs, for all facility types. Aside from jail costs, the rate also includes detention services (in-district transportation and medical), which decreased by 13.8 percent. Reduced population levels resulted in an inability to reach greater economies of scale available with larger population levels.

**Figure 13 – Prisoners produced for required events**



In FY 2017, prisoner productions were 2.4 percent below the projected level and 2.9 percent below FY 2016 productions. The decrease in prisoner productions was primarily due to fewer prisoners received for immigration offenses.

**Table 3 – Per Diem Rate Paid by Facility**

Performance Measure	FY16	FY17
Total	\$81.13	\$83.54
InterGovernmental Agreement (IGA) Total	\$70.94	\$72.06
State and Local	\$73.33	\$73.67
Private, Indirect	\$64.36	\$67.05
Private, Direct	\$115.85	\$122.78

The USMS held the per day, per capita jail cost to 2 percent above the projected level for all facility types and 3 percent above the FY 2016 cost. The rate paid at private facilities was 12 percent above the projected level while the rate paid at IGA facilities was 0.5 percent lower than projected.

**Table 4 – Time in Detention, Prisoners Serving Imposed Sentences in USMS Custody**

Performance Measure	FY16	FY17
Prisoners with Short-term Sentences Released by USMS	40,901	32,129
<b>Days-in-Detention, Post Sentencing</b>		
30 days or less	28,051	21,954
31 to 60 days	7,679	5,651
61 to 90 days	4,081	3,480
91 days or more	1,090	1,044
<b>Average Detention Time (Days)</b>		
Pre-Sentence	7.9	12.0
Post-Sentence	27.6	28.6

An estimated \$80 million was expended to house prisoners post-sentencing. The USMS managed government resources efficiently by releasing 32,129 prisoners from USMS custody following short-term sentences. Prisoners serving short-term sentences accounted for 5 percent of the total USMS detention population. In FY 2016, this population decreased by 18 percent with a corresponding 13 percent decrease in the cost of housing short-term prisoners. Similar to FY 2016, 83 percent of the prisoners released following short sentence expiration were arrested for immigration offenses.

**Table 5 - Prisoners Received: By Offense**

Performance Measure	FY16	FY17
Total	195,656	185,547
Violent	10,294	12,019
Property	13,028	12,723
Drugs	25,846	25,438
Weapons	9,056	10,425
Immigration	68,690	58,249
Other New Offenses	13,695	13,418
Supervision Violations	26,183	27,235
Material Witness	5,636	5,706
Writs, Holds, Transfers	23,228	20,334

During FY 2017, the number of prisoners received by the USMS was 185,547 or 5.2 percent prisoners less than FY 2016. The number of prisoners received for immigration offenses decreased by 15.2 percent; weapons offenses increased by 15.1 percent; supervision offenses increased by 4.0 percent; and drug offenses decreased by 1.6 percent.

**Strategic Objective: Enable districts to resolve detention issues by improving data collection and creating performance measurement tools**

The USMS will develop systems that provide assessment and planning data and automated tools to assist districts with managing complex detention problems. These systems will collect and display real-time, accurate information on detention costs and available federal, state, and local bed space to resolve potential problem areas swiftly and at the lowest level.

**Define and develop the requirements to transition to a National Detention Operations Information Network**

**Ensuring better information sharing:** The USMS developed and deployed a prisoner operations intranet site to improve headquarters and field access to detention operations information and to facilitate information sharing and collaboration. The new site provides easy access to relevant detention information, including real-time, accurate information on costs and available federal, state, and local bed space. This knowledge management portal is a first step in transitioning to a national detention operations information network.

**Building mission critical case management modules:** As part of the agency’s efforts to build an enterprise case management system, a number of modules pertaining to the prisoner operation mission were developed. These modules will provide greater functionality for detention related activities such as intakes, custodies, productions, and transportation. Specific modules developed include all movement requests, eSign of prisoner remands, BOP and IGA facilities access to manifests, district standardized booking forms, standardized juvenile e-records, and fingerprinting.

**Develop defined business practices with BOP to better track, manage, and utilize federal detention space within BOP**

**Improving detention contract management:** The USMS improved detention contractor performance by establishing an on-site detention contract monitoring program staffed by full-time professional detention contract administrators in districts where USMS uses private detention facilities to house prisoners. The detention contract monitoring program will result in better trained contracting officer’s representatives in detention matters and improved contract service.

**Improving conditions of confinement:** The USMS revised the Federal Performance-Based Detention Standards to incorporate DOJ’s guiding principles outlined in “Report and Recommendations Concerning the Use of Restrictive Housing.” Additionally, the agency developed the restrictive housing module within the Detention Services Network eIGA System for use by state, local, tribal, and territorial detention service providers to report basic information regarding the use of restrictive housing for USMS prisoners and to monitor compliance with new restrictive housing guidelines.

**Strategic Objective: Implement innovative business practices to streamline detention operations**

The USMS will improve prisoner processing time and reduce redundancy through better data sharing.

EXCHANGING DATA ON FOREIGN-BORN DETAINEES

In support of Executive Order 13768 (January 25, 2017), “Enhancing Public Safety in the Interior of the United States,” the U.S. Marshals Service began providing ICE with booking data on all foreign-born detainees to better facilitate the identification, detention, and removal of criminal aliens. After receiving this booking data, ICE then verifies the detainee’s nationality and criminal history to determine if a detainer is warranted. To meet this data exchange requirement, USMS developed an automated process to securely transmit detainee data real time to ICE. Since the commencement of this data exchange, the agency has transmitted more than 32,632 records to ICE.



A DUSM secures a federal prisoner for transport to federal court.

**Assess the feasibility and cost effectiveness of implementing strategically sourced detention services**

The USMS conducted a comprehensive review of its restraint policies and procedures, and as a result of this review, developed scenario-based guidance on the minimum requirements for restraining prisoners. This review included guidance on the maximum restraints necessary to secure special population prisoners and direction to document deviations from the standard. This review also included changes in how the USMS will collect and analyze the type and amount of restraints purchased in order to establish proper accountability and ensure appropriate spending.

**Strategic Objective: Provide adequate medical care in the most effective manner**

The USMS will develop an electronic system to support the various aspects of the National Medical Care Program to alleviate workload and improve efficiencies.

**Develop cost effective solutions for the care of chronically ill patients** The USMS re-competed and awarded a \$29.7 million, 10-year National Managed Care Contract to a Service-Disabled Veteran-Owned Small Business. This new contract includes an automated claims recoupment process that will enable the USMS to recover provider overcharges faster and give the agency the ability to scan and forward claims electronically while continuing to ensure USMS prisoners receive uninterrupted and medically necessary health care.

**Strategic Objective: Transition to a National Detention Program**

Using a systematic method to conduct a business reengineering of detention management processes, this effort will result in an organization with business processes that preserve the integrity of the federal judicial process by administering the Federal Detention Management System and establishing national detention policy.

**THE 2017 FEDERAL 100**

John Scalia, Chief of Forecasting and Analysis, Prisoner Operations Division, made the 2017 Federal 100 winner's list, which spotlights and celebrates accomplishments of individuals in the federal workforce. Scalia was highlighted for his work in creating money-saving models for the U.S. Marshals Service. USMS pays a per diem for every bed occupied by a prisoner, which has resulted in a significant strain on its budget and its ability to deliver cost-effective services. Scalia used advanced analytics and modeling to help the Federal Prisoner Detention program make strategic decisions that are delivering significant results: \$211 million in historical cost savings and an annual anticipated avoidance of \$46 million. His analyses also established a framework for reducing detention spending by consolidating prisoners into lower-cost facilities, increasing capacity and streamlining transfers.



DUSMs escort a federal prisoner to a court hearing.

**Enhance detention management and forecasting capabilities**

**Addressing prisoner record and cellblock security deficiencies:** The USMS revised its cellblock policies, procedures, and forms to better address prisoner record and security deficiencies. This effort consolidated 15 subordinate cellblock policies into four policies covering operations, administration, legal documents, and prisoner searches plus one general operations publication to be used as a reference document for protocols and nuances often encountered when providing prisoner and cellblock oversight. Concurrent with this policy update and consolidation, the USMS developed 21 distinct SOPs that provide districts with the best business practices to achieve cost effective, safe, secure, and humane prisoner confinement.

**Automating prisoner notices and reports:** The USMS developed and deployed an automated version of the prisoner custody alert notice and the prisoner restraint variation report. The automated prisoner custody alert notice reduces the duplication of effort and the margin of error in critical information reporting. Specifically, the new version addresses special handling requirements, detention facility signatures, prisoner name and number, and synchronizing other prisoner data with the USMS detainee information system. The automated prisoner restraint variation report provides leadership with better oversight over restraints used for special population prisoners such as pregnant prisoners, as well as the use of less-than-lethal devices and prisoner restraint chairs.

<b>MODIFYING IGAS</b>	<p>The USMS modified more than 900 IGAs to ensure state, local, tribal, and territorial detention service providers complied with new guidelines when housing USMS prisoners.</p>
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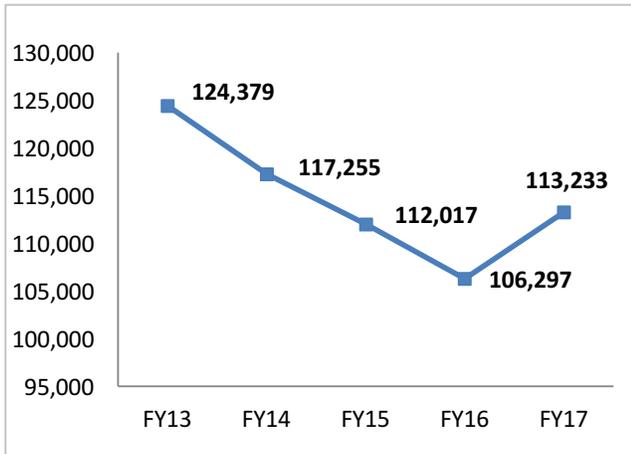
**Develop a national emergency response framework** The U.S. Marshals Service improved detention facility emergency situation monitoring and reporting by updating policies and procedures to establish roles, responsibilities, and SOPs. These updates strengthen prisoner evacuation coordination in the event of regional or national disasters. These updates include modifications to the IGA and private facility inspection checklist so facilities have written contingency/emergency plans identifying primary and alternate evacuation sites when emergency prisoner relocation is needed.

## MISSION: PRISONER TRANSPORTATION (OUT OF DISTRICT)

The USMS transports prisoners to support the federal judiciary and the BOP. The agency also provides prisoner transportation to state and local law enforcement agencies and other federal agencies, including the military, on a space-available basis. Within the USMS, the award-winning JPATS program manages the coordination, scheduling, and secure handling of prisoners in federal custody, transporting them to detention facilities, courts, and correctional institutions across the 94 judicial districts through a network of aircraft, cars, vans, and buses.

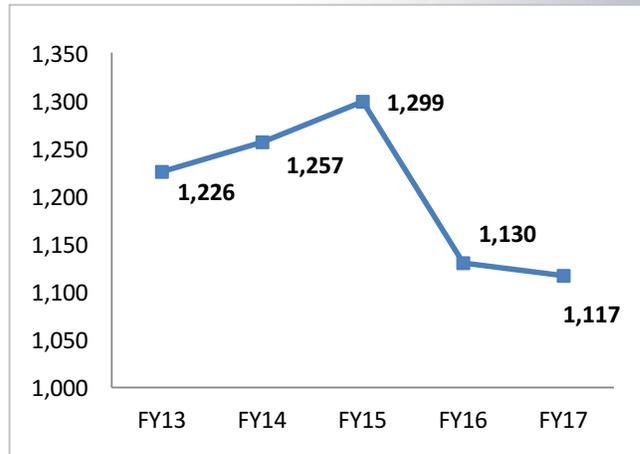
**MISSION PROGRAM DATA**

**Figure 14** – Requests to transport prisoners by air or ground



The increase of movement requests were primarily due to deactivation of BOP private facilities and hurricane relief missions.

**Figure 15** – Transportation Unit Costs (in dollars)



Although movement requests were up, transportation unit costs were contained through effective cost containment strategies

### Strategic Objective: Optimize the prisoner transportation network

The USMS will develop solutions to improve data systems integration which will minimize inefficiencies, and develop business rules, and implement systems to ensure the efficient use of ground and air transportation.

#### Develop and implement a methodology to enable more effective and equitable district transportation resource allocation and management

**Improving guard and transportation service contracts:** The USMS improved the procurement and oversight of district guard and transportation service contracts by consolidating all such contracts under a single national Blanket Purchase Agreement using a standardized performance work statement. When awarded, the Blanket Purchase Agreement will result in better contract monitoring oversight and competitive pricing.

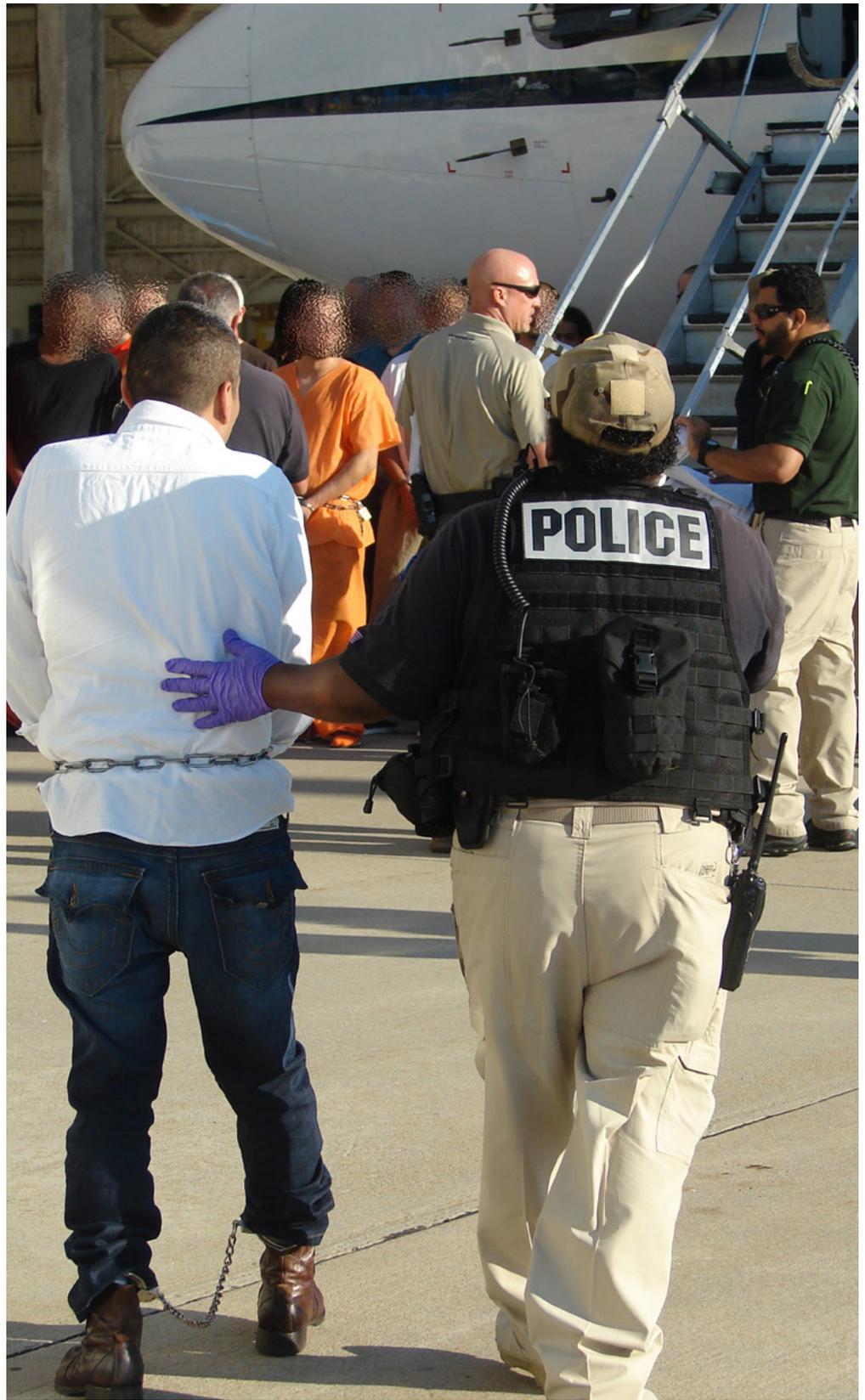
**Improving administration of guard transportation contracts:** The USMS conducted a comprehensive review and assessment of its guard transportation contracts and associated policies and procedures. Based on this review, the agency implemented innovative contract administration and management controls, new guard contracting officer’s representative training, contractor performance monitoring standards, and a quality assurance surveillance program to ensure assessment deficiencies were corrected.

**Extend JPATS automation and data transfers to further streamline transportation** The current prisoner movement procedures require paper documentation for the prisoner travel packet. In FY 2017, the USMS deployed a movement packet proof of concept application that will streamline the upload, verification, and transfer of this paperwork. The movement packet platform, hosted within the BOP Government Cloud environment, was created to replace the BOP’s current movement request submission system and digitize

prisoner paperwork. The movement packet improves prisoner data accuracy by auto-populating data, streamlines movement requests by automatically displaying prisoner designations in movement officer inboxes, and uses BOP's single sign-on capabilities. The success of this proof of concept validates the technology and will allow the USMS to further develop the movement packet to produce prisoner paperwork, provide interface with the USMS case management system, integrate digital signatures, and use biometric data for prisoner verification.

**Optimize JPATS transportation operations, including scheduling, airlift security and transfer operations, and interagency structure**

The U.S. Marshals Service conducted an extensive study of perimeter security procedures at airlift sites and across the national transportation network to identify enhancements that would increase its protective posture, raise threat awareness, and reduce risk. Agency improvements include: significant revision to perimeter security SOPs, improved tactical gear and automatic weapons procurement, quarterly and annual tactics training, and orientation and awareness training for non-law enforcement officer crew members. Additionally, daily prisoner and threat information was integrated into the morning pre-



Aviation security officers escort prisoners aboard a prisoner transport plane. The USMS uses planes to transport prisoners across federal judicial districts.

mission briefings and made available to security personnel via their iPads. Together, these enhancements provide a heightened sense of threat awareness and a more robust security posture to ensure improved officer and crew member safety.

**Develop a strategy to reduce choke points during in-transit prisoner moves to include an assessment of ground transportation hubs**

**Validating current and potential airlift sites and routes:** In FY 2017, the agency assessed and revalidated its current and potential airlift sites and routes. It also developed a formal, standardized process to initiate and complete an airlift site assessment. This process ensures the regular revalidation of aviation, security, and business considerations, and provides agency partners with a method to request changes with complete transparency.

**Improving USMS response to bed capacity issues:** To more efficiently conduct prisoner transfers and ensure prisoners are not held in USMS custody longer than necessary, the agency initiated a project to enhance its scheduling and routing software suite with integrated BOP facility data. Specifically, the USMS extended the system’s user interface to allow input of bed space availability and planned release information for facilities that are near full capacity. This information is now used by the system’s routing and scheduling planning module to automatically limit the number of deliveries to these facilities. The results can also be used to track and show where the transportation network is experiencing bottlenecks. Together, these enhancements improved the agency’s ability to respond to bed space capacity issues, more rapidly coordinate prisoner transportation from USMS to BOP custody, and limit the time that prisoners spend in USMS custody after designation.

**Strategic Objective: Conduct an assessment to determine the potential value of JPATS expanding government transportation requirements and formalizing expanded services**

JPATS will conduct an aviation operations needs assessment across DOJ and with other federal agencies to determine the viability and scope of offering JPATS award-winning services.

**Formalize a standard training program that addresses the unique requirements of the JPATS mission**

**Developing a formal JPATS aviation personnel training program:** The U.S. Marshals Service developed and implemented aviation-related training across all JPATS specialties. This training is designed to professionalize the workforce and meet the International Standard for Business Aircraft Operations audit training requirements. The agency reviewed its training methods to ensure

SUSTAINING USMS MOVEMENTS WHILE SUPPORTING DEACTIVATION OF BOP PRIVATE FACILITIES

In FY 2017, the U.S. Marshals Service’s JPATS supported regular BOP transfers and several private detention facility deactivations while maintaining a consistent prisoner movement flow. The agency was able to provide such support without impacting its other operations by employing all three Boeing 737 airplanes and surge crews simultaneously.

Most notably, JPATS supported the deactivation of two correctional facilities within a six-week time constraint. During this six-week period, JPATS conducted 1,999 movements (1,486 by air and 513 by ground), 1,207 movements above the regularly scheduled flights.

The timely and efficient deactivation of these facilities was due to the extraordinary coordination among BOP liaisons, prison transportation specialists, the Federal Transfer Center, and JPATS Management and support staff, along with the patience and cooperation of the USMS Prisoner Operations Division.



The Boeing 737-400 (pictured) is one of three 737 prisoner transport planes owned by the USMS.

documentation complied with Federal Aviation Administration requirements. The review identified best practices for maintenance and personnel scheduling resulting in a formal training program. Finally, JPATS was able to expand quarterly stand-down day training to all aviation functional areas.

**Strengthening JPATS aviation and security personnel training:** The agency implemented a number of training initiatives related to its JPATS Aviation program. For JPATS pilots, an innovative application for recurring pilot training was implemented to allow advance preparation for quarterly training sessions. The agency also developed its first course for training new aviation enforcement officers. The course's curriculum serves as the basis for standardizing new employee training and adheres to USMS policies and procedures. Finally, the agency formalized and implemented a modernized automatic rifle training plan with advanced rifle instruction for aviation enforcement officers and aviation security officers. In July, 2017, the agency procured additional automatic rifles for security operations personnel to augment the existing weapons inventory and enhance operational capability.

# GOAL 4: SAFETY OF LAW ENFORCEMENT PERSONNEL

TO PROMOTE OFFICER SAFETY AND PROVIDE EFFECTIVE SUPPORT DURING DOMESTIC AND INTERNATIONAL EMERGENCIES



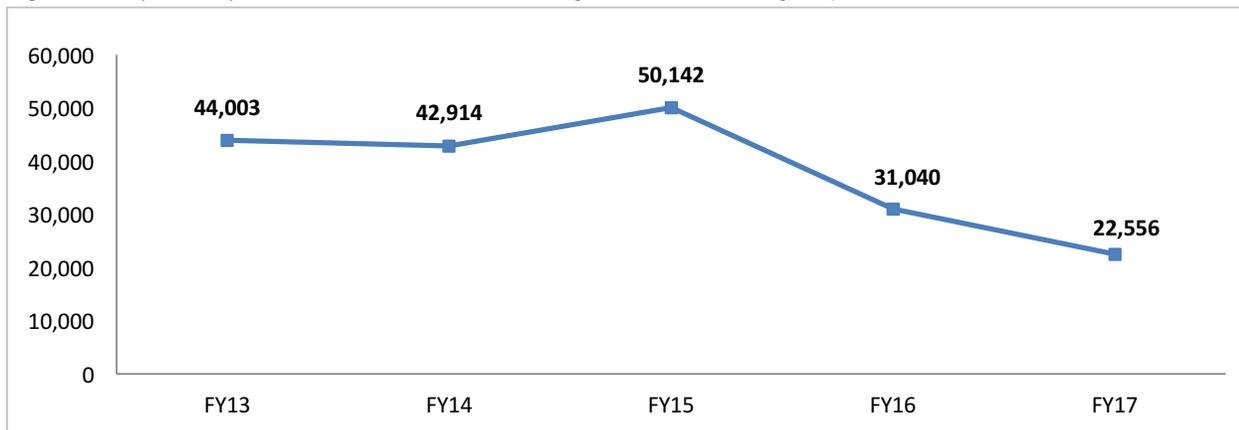
**Deputy U.S. marshals contend with ever-present threats to their safety while executing the agency's operational missions. From courthouse protection to prisoner handling, from fugitive apprehension to serving federal summonses, DUSMs must be physically and mentally prepared to mitigate threats and respond to potentially life-threatening attacks. In FY 2017, the USMS continued to make significant strides in ensuring its operational personnel possessed the most advanced officer safety training and equipment, as well as the proper medical and technological capabilities to support emergencies.**

## MISSION: LAW ENFORCEMENT PERSONNEL SAFETY

USMS protective, investigative, and detention missions place operational personnel, along with various law enforcement partners, in situations with a potential for violence. Ensuring the safety of law enforcement personnel and America’s communities is paramount to the agency.

**MISSION PROGRAM DATA**

**Figure 16** – Special Operational Hours Dedicated to High-Threat and Emergency Situations



In FY 2017, the Special Operations Group supported districts with operational planning, high-threat warrant execution, and an operational and vulnerability assessment for a future high-profile trial. Additionally, the group deployed armored vehicles to assist with protective and fugitive apprehension operations. This fiscal year, the group conducted its first selection class since 2012. The course’s rigorous requirements resulted in a 46 percent graduation rate.

**Table 6** – USMS Officer Safety Training Statistics

USMS Courses	DUSM	Non-USMS	Total Trained
High-risk fugitive apprehension (HRFA)	166	125	291
HRFA Human Performance	41	-	41
Firearms Instructor Training Program	44	-	44
Less-than-Lethal Instructor Training Program	47	-	47
Tactical Pistol and Rifle	57	41	98
Tactical Training Officer	27	-	27
Tactical Task Force Officer	-	45	45
Total	382	211	593

### Strategic Objective: Mitigate the risk to DUSMs and ensure the level of readiness for the mission

To maximize risk reduction, the USMS must ensure consistency when communicating standardized approaches to apprehension in all scenarios and reinforce this message in all policies, procedures, and tactical training.

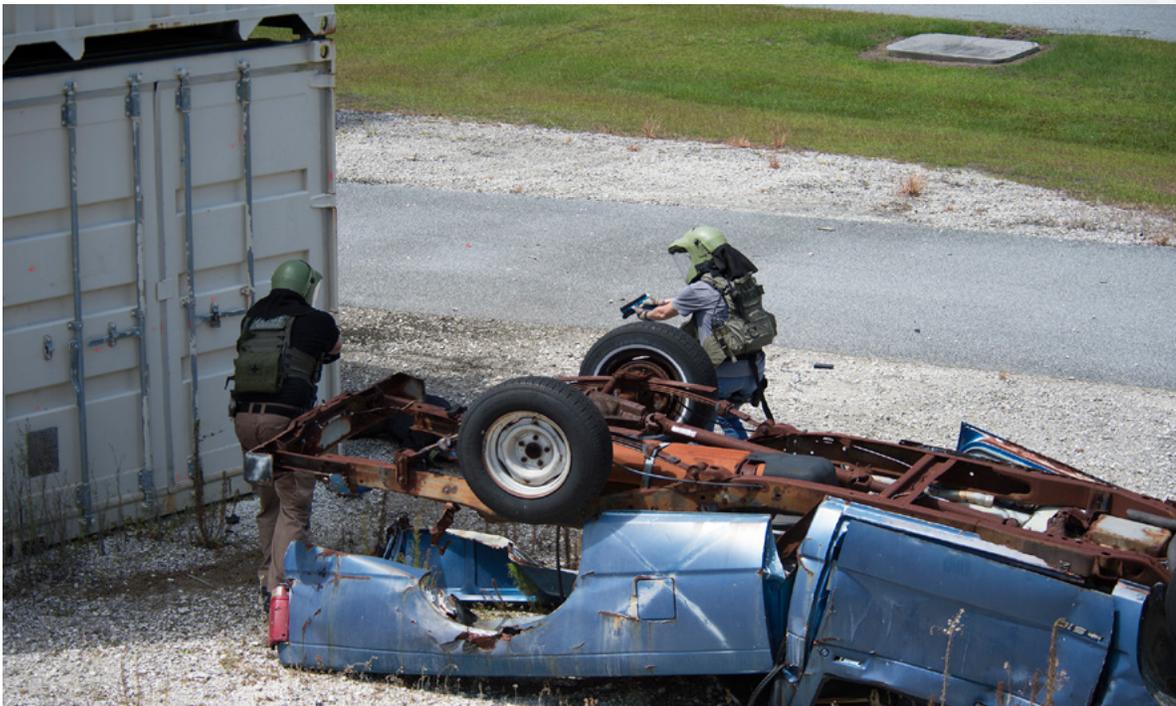
#### Review existing policy and procedures and identify gaps and actions to address officer safety

**Mitigating risks to officer safety during prisoner transport:** To mitigate risks associated with prisoner transportation operations and increase officer and employee safety, the USMS completed a review of all policies and procedures for transporting prisoners in an aviation environment. The USMS also implemented several initiatives from the review, such as upgrading the aviation safety management system to report and track incidents that occur during operations, and updating occupant emergency plans, security and prisoner scheduling SOPs, and the cabin crew manual. Finally, to sustain risk mitigation strategies long term, aviation

employees conducted officer safety and tactical training, implemented an aviation crewmember orientation program, and created a tactical training program for contracted aviation security officers.

**Mitigating risks to officer safety in judicial security operations:** The agency conducted a comprehensive review of its judicial security policies and updated several to eliminate inconsistencies and inefficiencies. Policies and procedures were revised to bring clarity, precision, and currency to the body of USMS Policy Directives that guides and governs judicial security activities. Judicial security personnel also led the agency-wide initiative to establish interim guidance on conducting online investigations.

**Establish a formalized long-term safety training program**



DUSMs train to apprehend high-risk fugitives.

In FY 2017, the agency offered two HRFA courses to U.S. marshals and chief DUSMs. These critical training events provide district leadership with the opportunity to experience first-hand the same training operational personnel have been attending since 2011.

**Advancing officer safety through training:** In FY 2017, as part of a Deputy Attorney General initiative, the USMS established a formal, long-term safety training program to mitigate risk to operational personnel. The program provides training, funding, and sustained coverage for tactical training officers; an advanced training program on HRFA; access to live-fire ranges; and a resource strategy for armor/protective equipment requirements.

**Strengthening decision making during high stress situations:** The U.S. Marshals Service implemented a new course, HRFA Human Performance, designed to teach DUSMs to enhance decision making, skills, and overall performance under stress. In this course, DUSMs are immersed in repetitive stressful scenarios and given mission specific tasks to complete. Repetition allows the officer to critically review previous responses and employ a more effective solution with each subsequent scenario. As a result of this training, the officer should be able to quickly employ the most effective response during an incident. The first two classes certified 41 tactical training officers as HRFA Human Performance Instructors.

LESS-THAN-LETHAL DEVICES EVALUATION

The USMS evaluated additional Less-than-Lethal devices to be considered for authorized agency use. Representatives from across mission areas evaluated impact munitions and launchers, inertia initiated diversionary devices, fuse initiated diversionary devices, OC Vapor Aerosol Grenades, and smoke. The use of these devices could significantly impact and improve officer safety across all USMS program areas.

**Prioritizing officer safety training and equipment:** The agency provided funding to more than 50 districts to fulfill requests for equipment, travel, and instructor training related to officer safety. One of these requests came from the District of Puerto Rico, which sought HRFA training for its 38 DUSMs and Task Force Officers. Following the week-long course, instructors remained in Puerto Rico to support enforcement operations. These additional resources allowed the district to expand its enforcement capabilities and provided the new HRFA graduates an opportunity to practice skills learned during the course under the mentorship of HRFA instructors, further reinforcing the peer-to-peer style of instruction that makes HRFA so successful.

**Securing funding for critical officer safety equipment:** In FY 2017, the agency received additional base funding to replace approximately 1,787 sets of body armor. Replacement ensures all USMS operational personnel have body armor within the manufacturer's warranty period. In addition to replacing all outdated body armor, a cyclical replacement plan was developed to ensure that currently issued and warrantied body armor is replaced throughout the 5-year warrantied lifespan. The agency also received funding to resume replacement of agency stun guns. Currently, 552 Taser X26Ps were distributed to 15 districts, in addition to providing a Taser to each recent graduate of the Basic DUSM course. Every operational employee in the agency will be issued a Taser X26P, which will replace the previous model that will not be serviceable after FY 2019.

## MISSION ACHIEVEMENT THROUGH SPECIAL DEPUTATIONS



Each year, the U.S. Marshals Service grants special deputations to federal, state, local, and tribal law enforcement agencies to enhance the agency's ability to conduct protective and investigative operations. In FY 2017, more than 1,700 such agencies and MOU partners participated in the USMS's Special Deputation Program, including members from all 15 Executive Branch departments, the Smithsonian Institution, the Library of Congress, the National Science Foundation, the World Bank, and the International Monetary Fund. Virtually all special deputies are sworn law enforcement.

This fiscal year, the agency reviewed and processed 11,779 special deputation applications, 3,536 of which came from 60 group applications to support USMS districts and regional fugitive task forces. Additional deputations were approved for 188 applicants from the Department of State and 6 applicants from the World Bank and International Monetary Fund. These special deputies also supported the 58th Presidential Inauguration and Super Bowl LI. For inauguration day weekend, more than 3,600 law enforcement personnel from around the country provided a uniformed and plainclothes police presence. Six days later on January 26, 2017, 60 deputized K9 Handler teams provided explosive detection canine support at Super Bowl LI.

**Teaching skills to protect witnesses:** The agency trained 92 percent of field operations inspectors in surveillance avoidance skills essential to protect inspectors and witness security program participants from individuals and organizations that wish to harm participants for cooperating with the government. Additionally, witness security inspectors received intensive tactical training at the USMS Special Operations Group Training Center and participated in real-world protection scenarios. These inspectors also shared their skills and expertise by providing specialized protective operations training to USMS employees assigned to protect the Secretary of Education.

**Expand the agency’s medical response capability and ensure adequate medical support for the USMS mission**

**MEDIC TRAINING**

In FY 2017, the Operational Medical Support Unit trained all medics in the proper usage of Narcan, a drug currently carried by all operational medics in the field in order to reverse an opioid overdose.

In FY 2017, the agency provided medical support to numerous high-profile security details and conferences, high-risk warrant operations, high-threat prisoner transports, training events, and domestic and international extraditions. Numerous programs within the USMS use the Operational Medical Support Unit to mitigate risk and to support mission requirements. For example, the unit provided medical coverage at 135 judicial conferences, 81 U.S. Supreme Court Justice protection details, and 25 Deputy Attorney General protection details. It also provided hundreds of hours of medical coverage for nine international extraditions and five domestic extraditions. A total of 140 patients were treated as a result of this operational medical support.

To more effectively manage the increasing number of requests and program requirements for operational medical support, the agency added a full-time supervisor.

**Strategic Objective: Develop a communication strategy to provide all operational personnel with the ability to communicate during mission related activities**

The USMS maintains a unique, extensive cache of deployable communications equipment to support national security events and U.S. Government responses to critical incidents. In addition to legacy Land Mobile Radio communications, the USMS is a leader in the use of emerging technology in modern communication and interoperability.

**Ensure sustainable tactical communication and network functionality and delivery of services**

**Modernizing tactical communications and surveillance networks:** An assessment of the Marshals Service Communication Application Network and Asset Tracking Location and Surveillance System identified the need to replace aging hardware and upgrade the operating system and application software used for the networks, establish a backup network for the Marshals Service Communication Application Network, and replace the aging equipment used for the backup network of the Asset Tracking Location and Surveillance System. The agency created an inventory of aging hardware and software for the networks and uses this list as a lifecycle management cost tool to complete replacements in a series of budget-friendly stages. The list provides a 6-year end-of-life cyclical replacement schedule from 2017 through 2022 for an average yearly cost of \$1.2 million per year.

**Upgrading Mobile Command Centers:** To ensure effective mission support throughout the country, the U.S. Marshals Service replaced and upgraded critical communications systems in all Mobile Command Centers. The agency also added a wireless tunnel to ensure a direct connection to the USMS network is possible in urban environments when satellite connection is not available.

## MISSION: DOMESTIC AND INTERNATIONAL EMERGENCY SUPPORT

The USMS equips operational personnel with critical tactical communication capabilities, including equipment that is interoperable with federal, state, and local law enforcement partners. The USMS also ensures that procedures, systems, and resources, such as adequately trained personnel, are in place to allow for rapid response to national emergencies, crises involving homeland security, special assignments, and security missions.

### Strategic Objective: Ensure effective rapid response to emergencies and crises

To ensure an effective rapid response to emergencies and crises, the USMS will train and equip personnel who can travel at a moment's notice.

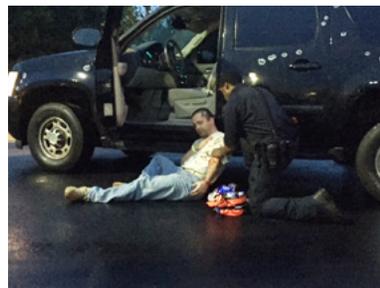
**Ensuring continuity of operations:** During FY 2017, the agency updated all continuity policy, plans, procedures, and training to ensure compliance with the new national continuity policy, PPD-40. These updated policy directives address significant incident reporting, continuity of operations plans, mission and organization updates, and continuity of operations training. Continuity of operations leaders successfully trained 68 continuity points of contact and senior leadership on the new policies to ensure rapid response to emergencies and crises.

**Procuring more advanced technology:** In FY 2017, the agency successfully identified and procured emerging and innovative technologies to securely track critical medical countermeasure material. Original GPS tracking devices were replaced with this new technology and these devices can now be viewed via software on the agency's network, including on USMS smartphones, which allows for real-time situational awareness, alert functions, and GPS tracking capabilities. The new tracking devices have been tested and validated on numerous vaccine shipments across the country en route to federal storage facilities. The new tracking capabilities further provide security for Strategic National Stockpile assets, properties, and materials when staging for movement or in transit.

**Enhancing medical countermeasure facility security:** To increase security, the agency installed five base station radios at key medical countermeasure storage facilities around the country. The base station radios have been tested and validated through operations-based exercises in conjunction with the Centers for Disease Control and Prevention's Office of Safety, Security, and Asset Management. The base

station radios increase command and control functions and enhance facility security by encrypting tactical communications and facilitating situational awareness among security organizations. Agency personnel also participated in full-scale interagency exercises designed to test site security officers' abilities to handle multiple threats, to secure Strategic National Stockpile facilities, and to provide casualty care in a stressful environment. A total of 10 entities and 97 participants were introduced to internal and external threats to the facilities during hours of limited visibility where the participants tested and validated mission areas of prevention, protection, and response.

**Ensuring operations in austere environments:** The agency procured five emergency response trailers to serve as mobile command posts for the Strategic National Stockpile mission. These mobile command posts allow senior inspectors to operate in a secure environment during national events and exercises, and are used for planning, law enforcement and truck driver briefing, driver vetting, shelter during inclement weather, and continuity of operations. Mobile command posts can operate independently in any austere environment.



USMS personnel train to secure Strategic National Stockpile facilities during this full-scale exercise.

# GOAL 5: PROFESSIONAL WORKFORCE

TO ENSURE PROFESSIONALISM AND ACCOUNTABILITY, AND PROMOTE INNOVATION IN THE USMS PROFESSIONAL WORKFORCE



**Mission achievement is predicated on hiring a talented operational and administrative workforce, training that workforce to be mission ready, and ensuring compliance with agency directives. In FY 2017, the agency furthered its ability to more effectively achieve its missions by implementing competency-based hiring, establishing a Mathematical Sciences Fellows program, and building a more flexible system to hire its district detention workforce. The agency invested in a consolidated training request management system, offered distance learning opportunities, and provided better training for supervisors and managers. Its oversight of these, and all, mission areas was strengthened with a new case management system and a significantly revised self-assessment compliance guide which allows districts and divisions to assess their level of compliance with agency policies and proactively identify deficiencies.**

## MISSION: PROFESSIONAL WORKFORCE

The USMS requires a professional workforce to accomplish its complex and varied missions. The agency workforce consists of approximately 5,200 employees, 74 percent of whom are law enforcement. Professional, administrative, and technical functions provide the necessary foundation to achieve the USMS Strategic Goals and Objectives, execute the mission, and manage a diverse workforce. The agency continues to assess organizational and business structures, evaluate the workforce composition, and ensure the right people with the required skill sets are in the right locations.

### **Strategic Objective: Pursue innovative solutions to redesign USMS positions and structure to meet current and future mission requirements**

The USMS will implement innovative solutions and transformational change to meet the needs of its mission. Specifically, the agency will explore innovative human resource solutions to allow for the future growth and flexibility of its workforce.

**Formally redefine Agency positions to meet current and future mission requirements** To meet its immediate data analytics mission requirements, the U.S. Marshals Service implemented the Mathematical Science Fellows Program, which is designed to allow the agency to attract and partner with experts in the mathematical sciences field. The USMS will hire, on a limited basis, term employees with these highly specialized skills and industry expertise. The Mathematical Science Fellows will develop processes and algorithms to assist in areas such as risk analysis, forecasting, and modeling, and will help the USMS describe, predict, and drive program performance. This hiring flexibility allows the agency to increase its effectiveness and innovation through the application of data analytics.

**Determine the type and location of operational and administrative personnel and the business structure in which they operate** USMS district offices face many challenges regarding detention enforcement, to include the distance between detention facilities and court, difficulty securing detention space for USMS prisoners, and sudden surges or decreases in prisoner populations. Multiple workgroups studied these and other issues to determine the most efficient and effective staffing model for this mission. Based on the recommendations from these workgroups, the agency developed a new staffing model to facilitate management of the detention workforce. This new model allows districts to individually determine the type of operational personnel (i.e., a contract district security officer, a detention enforcement officer, or a DUSM) to best meet their unique detention enforcement needs. By classifying detention enforcement resources in the same category, it allows districts to select the workforce resource that best meets their mission critical needs at that time. The model maximizes the flexibility of our Agency's limited resources while effectively accomplishes the detention enforcement mission.

### **Strategic Objective: Develop the workforce competencies that meet the current and future needs of the agency**

The U.S. Marshals Service will refine its capabilities by identifying the competencies and the resultant career paths to meet current and future mission requirements and ensure that a process is in place to select and promote the most qualified candidates.

### **Implement innovative hiring tools and assess and refine the selection and promotion processes to ensure positions are filled with the most qualified candidates**

**Designing better processes for evaluating candidates:** In FY 2017, the U.S. Marshals Service replaced the experience-based evaluation process developed in the mid-1990s and instead used live competency-based assessment exercises to fill its GS-1811-13 vacancies. This new competency assessment eliminates the time required by candidates and managers to write and evaluate lengthy experience statements. For the first time in the agency, competencies are now considered part of the rating and ranking process and are included prior to issuance of the Certificate of Best Qualified, ensuring that the best qualified applicants are those with the necessary skill set for advancement.

**Ensuring more efficient onboarding of new U.S. marshals:** In preparation for the change in administration in 2017, the agency in 2015 began to review its business processes that support U.S. marshals nominations and identified key issues and challenges. As a result of this review, the agency developed a customized SharePoint solution, complemented by the DOJ's sharing tool, to allow more efficient interaction across program management, U.S. marshal candidates, and USMS Leadership to receive, process, and transmit information and documentation. This streamlined approach simplified and improved the existing nominations process.

## APPOINTING U.S. MARSHALS



Since the creation of the U.S. marshal position in 1789, U.S. marshals have served as political appointees of the incumbent President of the United States. With each change in administration, the White House nominates and the U.S. Senate confirms up to 94 U.S. marshals, each representing a federal judicial district and reporting to the Director of the U.S. Marshals Service. A major component of this process is identifying, vetting, and investigating candidates.

The nominations process begins when the White House recommends candidates for U.S. marshal for the federal judicial districts. To be recommended, these candidates should meet the requirements established in the 2006 USA PATRIOT Act which call for college-level education and significant leadership and management experience in the administration of justice. Ultimately, a successful U.S. marshal candidate will have cleared reference checks, an ethics check, high-level interviews, and a full national security investigation in order to be nominated for U.S. Senate confirmation.

Once nominated, confirmed by the U.S. Senate, and appointed, U.S. marshals will begin their tenure by participating in the U.S. Marshal Introductory Training Program. This 38-hour program is designed to provide training focused on district matters to help the marshals successfully manage complex and high-frequency district tasks that present themselves soon after an incumbent takes office.

## MISSION: TRAINING AND DEVELOPMENT OPPORTUNITIES

A comprehensive training plan is an integral component for an organization to promote and ensure professionalism, accountability, and innovation. Through training, the USMS is able to address the needs of the organization and the needs of its personnel. The agency strives to identify employee needs and develop mechanisms to provide critical training, within the budget and resource constraints that exist in today's workplace.

### **Strategic Objective: Establish the Training Division as a Training Center of Excellence to further the advancement and standardization of USMS core competencies through a unified learning architecture**

The U.S. Marshals Service will centralize training to ensure its strategic approach to develop workforce competencies is achieved.

**Establish the process to determine Agency training needs, centralize oversight, and coordinate all agency training and utilization of assets** The USMS analyzed its Training Division business processes to determine training needs, establish certificate oversight, and coordinate all agency training and use of assets. It then determined the best technology solution needed to implement a training request management system. The agency is currently integrating this system with the DOJ Learning Management System which launched in FY 2017.

**Increase timely, cost-effective training opportunities for all employees** The U.S. Marshals Service developed a distance learning program that ensures training is delivered in a timely and cost effective manner. A team of e-learning development and management experts identified learning needs, applied governmental regulatory requirements, and developed SOPs that promote a baseline training development method and curriculum management. The new training structure allows the agency to develop USMS-specific courses to ensure proper professional development and the immediate training deployment on new policy or programs to mitigate risks or concerns. To date, more than 40 distance-learning courses have been developed or updated on such topics as civil rights and civil liberties, cyber security awareness, construction management, personnel recovery, and tactical radio training. Ultimately, when fully integrated with the DOJ Learning Management System, the distance learning program will maximize program management and service delivery.

**Create leadership and management developmental training for administrative and operational personnel** The U.S. Marshals Service is redesigning its professional development training programs to ensure continued agency and employee success. As part of the redesign, the agency is reviewing its supervisory and leadership training, external leadership training opportunities, mentoring and coaching opportunities, and its policies and procedures. In FY 2017, the DOJ Leadership Excellence Achievement Program reviewed the agency's leadership program and offered recommendations to strengthen the program. The agency will implement these proposed changes by developing a mentoring program for managers. The agency also developed and implemented a new training program to lead virtual teams by leveraging technology.

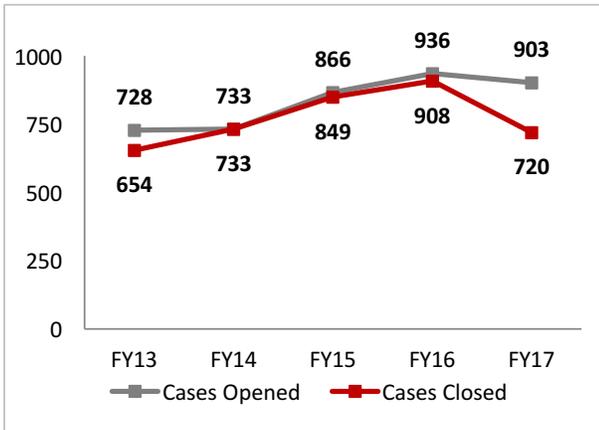
**Enhance partnerships and standardize international training** In FY 2017, the USMS provided training assistance to 19 countries, hosted 32 international courses, and provided training to more than 1,000 foreign law enforcement agents worldwide. As part of its international training platform, the agency formalized pre-deployment tactical training protocols for all members of the international training cadre. These protocols build on previous training initiatives to ensure the agency is fielding the most professional and best trained cadre of international instructors in the department. In FY 2017, the USMS trained 66 Colombian law enforcement officers in court security and firearms and 227 Mexican law enforcement officers in fugitive investigations, protective operations, and tactical skills.

**MISSION: ACCOUNTABILITY AND INTEGRITY**

Accountability and integrity of agency programs, personnel, and financial activities are of the highest concern in the U.S. Marshals Service. Through the collective efforts of Internal Affairs, Compliance Review, and Discipline Management, the agency investigates allegations of misconduct and integrity violations, ensures compliance with USMS and DOJ policies and procedures, and provides effective advice and guidance to USMS management and discipline officials on adverse actions resulting from employee misconduct.

**MISSION PROGRAM DATA**

**Figure 17 – Internal Affairs Caseload**



**Figure 18 – Use of Force Incidents**

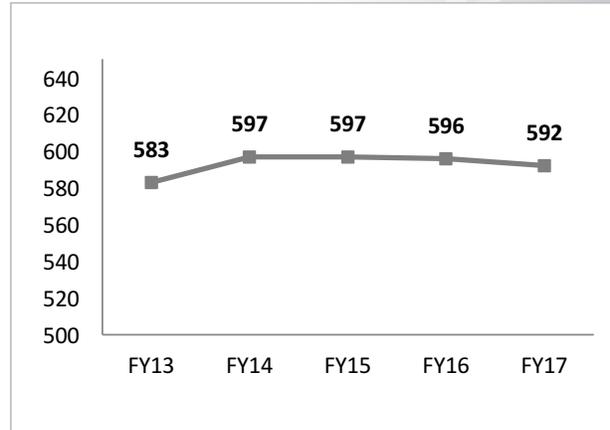
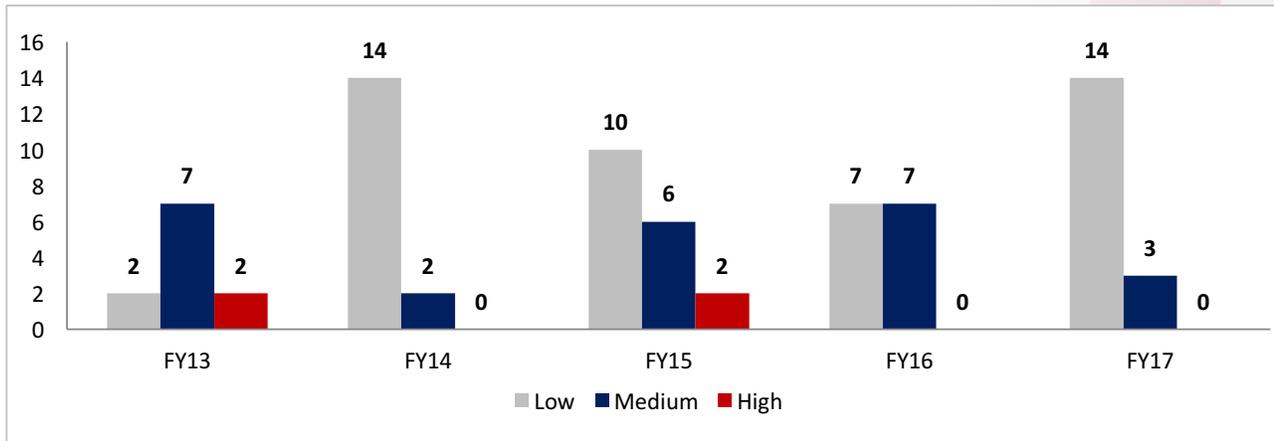


Figure 18 - A review of use of force reporting revised the FY13 total. The total presented in the FY 2016 annual report was 599.

**Figure 19 – Compliance Review Scores**



The USMS implemented a risk-based scoring process to enhance identification of problem areas. In FY 2017, the USMS conducted 17 compliance reviews during which not a single district or division received an overall score below 70 percent.

**Strategic Objective: Increase productivity, accountability, and compliance by refining employee management practices**

The USMS will ensure an efficient employee performance management system including clear performance work plans, a comprehensive and effective compliance review process, and an equitably administered disciplinary process.

**Refine the discipline process to ensure timely resolution and equitable implementation of disciplinary measures** In FY 2017, the USMS developed a new case management system for its Internal Affairs and Discipline Management branches. The new system automates manual processes for approvals, rejections, case disposition notifications, and case closures. The new case management system replaces two disparate databases that duplicated efforts, were not integrated, and required significant data entry to move data from one system into the other. The system is the agency's first to be built in a third-party commercial cloud environment and the first to use the agency's business process management framework. Further phases developing the case management system should allow the agency to manage its disciplinary actions and allegations of misconduct more efficiently, accurately, and consistently, while enhancing data analytics. The system's implementation serves to lay the foundation on which the agency's future business process management solutions will reside.

**Shift from a comprehensive compliance review process to a risk-based review process and automate the business process**

**Automating compliance review:** The Self-Assessment Guide (SAG) provides USMS districts and divisions with the information necessary to ensure compliance with applicable laws, regulations, policies, and procedures. However, IT systems supporting the SAG have caused substantial challenges and delays to workflow compliance testing, reporting, statistical analysis, SAG revisions, and corrective actions. In FY 2017, the agency analyzed critical business processes that comprise the SAG and developed new requirements to address existing issues, as well as provide data analytics and reporting capabilities not found in the current version. Developed using these requirements, the enhanced SAG will consolidate and analyze data from all 94 district SAGs and the 15 division/staff office SAGs and allow the agency to accurately identify non-compliance trends and patterns that place the entire agency at risk. To facilitate use of the new SAG, the agency conducted SAG presentations to senior leadership in 35 districts.

**Decreasing policy processing time:** The USMS reduced policy processing time by 30 percent in FY 2017. The quickest approval of a policy directive in FY 2017 took 32 days from submission to adoption. To help with policy processing, the agency developed a manual with instructions on developing and processing USMS policy directives which includes a style guide and policy tracker.

**Mitigating and investigating misconduct:** In FY 2017, the agency continued to proactively train supervisors and basic Deputy U. S. marshal candidates on integrity issues. These crucial training sessions raise awareness for managers to identify and prevent misconduct and provide a strong ethical foundation for new employees. Additionally, the agency aggressively analyzed the timeliness of investigations in relation to their complexity, and instituted enhanced awareness and tracking on cases requiring additional resources or cooperation from external partner agencies.

# GOAL 6: INFRASTRUCTURE DEVELOPMENT

TO DEVELOP A STRONG AND EFFICIENT OPERATING INFRASTRUCTURE BY MODERNIZING BUSINESS PROCESSES AND SYSTEMS



**In FY 2017, the USMS continued to invest significant resources in its infrastructure. In turn, these investments are allowing the agency to achieve its operational missions and serve as good stewards of taxpayer dollars. The agency’s attention to financial accuracy and efficiency, as well as its willingness to embrace new technology, makes it the DOJ leader in financial and procurement management. Its mobile workforce now has secure access to USMS networks and communications, regardless of location, as well as timely and helpful assistance in troubleshooting issues. The USMS also invested in the safety and security of its employees and infrastructure.**

## MISSION: FINANCIAL MANAGEMENT MODERNIZATION AND COMPLIANCE

USMS financial management encompasses budget formulation and execution, financial and accounting services, financial systems management and oversight, financial statement preparation, audit coordination, and procurement activities and compliance.

**Strategic Objective: Enhance the agency's ability to obtain and manage resources supporting the USMS strategic mission requirements and strengthen audit processes to comply with budgetary and financial management requirements**

The USMS will reengineer the budget and financial business structure and practices to allow the USMS to achieve an unqualified opinion without material weaknesses or significant deficiencies. The USMS will enhance compliance with a systemic approach to meet evolving resource management requirements and federal financial management standards.

### Reengineer execution and accounting structures and processes to improve management and oversight

**Expanding procurement functions and services in the Austin Processing Center:** In March 2017, the Austin Processing Center expanded procurement support to include all 94 district offices, up from 66 districts at the beginning of FY 2017 and 33 districts at the beginning of FY 2016. In addition, the procurement center has gone from performing 13 percent of the total district contract action workload in the first quarter of FY 2016 to 56 percent in the 4th quarter of FY 2017. The center expansion reduces district procurement-related workload and contributes to greater audit readiness and overall improved agency compliance efforts. The U.S. Marshals Service created the center in May 2013 to provide financial and procurement oversight and support for districts.

**Standardizing financial accounting data to comply with the Digital Accountability and Transparency Act (DATA Act) of 2014:** The DATA Act aims to make federal spending data more accessible, searchable, and reliable. In doing so, it also serves as a tool for better oversight, data-centric decision-making, and innovation inside and outside of government. For the USMS, this means submitting quarterly data files to DOJ that provide detailed information about the agency's contracts. These data files must comply with strict guidelines and pass through rigorous error checks, so it is essential for the agency to ensure the submission of timely and accurate data. As part of this effort, the USMS developed an extensive compliance program for data entered into the Federal Procurement Data System – Next Generation, which is the primary source of information for the DATA Act. This program includes a monthly data cleanup process and a daily reconciliation between the Unified Financial Management System and Federal Procurement Data System – Next Generation. The daily reconciliation also ensures that the USMS is compliant with the Federal Acquisition Regulation requirement to record all contract actions within three business days.

#### LEADING THE DOJ IN ALL ELEMENTS OF THE DATA ACT

In the August DOJ DATA Act Digest publication, the DOJ featured the USMS as its first ever Component Spotlight, highlighting the agency's leadership in all elements of the DATA Act. In this initial year of DATA Act implementation, the USMS had a total of 5 errors out of 5,701 records, translating to a 99 percent+ "match rate."

The DATA Act also requires Inspectors General to review and report on the completeness, timeliness, quality, and accuracy of the data and on the use of data standards. Upon completion of this review, the DOJ's Inspector General reported the USMS compliance rates were the highest among DOJ reporting and components: 100 percent for completeness, 100 percent for timeliness, and 97.22 percent for accuracy.

**MITIGATING FINANCIAL MANAGEMENT RISK**

The USMS piloted a financial management risk report that provides district leadership with high-level metrics on financial management performance and identifies potential internal controls weakness early on thereby mitigating the risk of loss. Three districts participated in this FY 2017 pilot.

**Reengineer procurement structure and processes to better support the USMS mission and improve audits, realize cost savings, and streamline business processes**

**Modernizing personal services contract procedures:** The USMS transitioned its personal services contracts from paper-based to the online Unified Financial Management System. This changeover allows the USMS to track these contracts in one central location. It also strengthens internal controls by standardizing the process for these contracts across the agency, and reduces data entry errors by providing automated linkages with the Federal Procurement Data System – Next Generation. To facilitate this transition, the agency documented step-by-step procedures and trained contracting officers to prepare for a complete switch to the online system beginning October 1, 2017.

**Standardizing contracts for common purchases across the agency:**

Analysis of USMS procurement data has shown that division and districts throughout the agency purchase many of the same items throughout the year, often from common vendors. However, the contracts for these purchases are currently decentralized, and prices can vary significantly across offices. To boost time and cost savings, the agency identified opportunities to develop standardized agency-wide or regional contracts for these purchases to allow for consistent requirements and leveraged buying power. The first of these standardized contract vehicles is expected to be deployed in early FY 2018.

**Ensuring procurement compliance:** In May 2014, the Office of Federal Procurement Policy issued a policy memorandum requiring all civilian agencies to ensure warrant holders and individuals in the GS-1102 Contract Specialist job series receive Federal Acquisition Certification - Contracting by October 1, 2014, and provided an additional 2-year window to achieve compliance. As an agency with many warrant holders that did not have this certification, the U.S. Marshals Service undertook a project to complete the certification process for as many USMS warrant holders as possible before the compliance date and develop the future landscape of procurement authority. As a result of these efforts, the USMS was the only DOJ component to become 100 percent compliant within this two-year window.

**STRENGTHENING PROCUREMENT EXPERTISE IN USMS DIVISIONS AND DISTRICTS**

The USMS Office of Procurement enhanced its cross-agency collaboration in FY 2017 by offering its expertise during division interviews to hire new contract specialists in the GS-1102 job series. The Office of Procurement also partnered with three district offices to install GS-1102 Contract Specialists as part of the larger, long-term plan to provide dedicated procurement staff to the agency's largest districts.

**Enhancing financial management credibility, integrity, and accountability:**

The USMS continues to lead the DOJ in solid financial management. As of September 30, 2017, the USMS is the only reporting component in the DOJ with no outstanding Notices of Findings and Recommendations or other findings to include Significant Deficiencies or Material Weaknesses. This accomplishment follows the agency's FY 2016 success in closing the fiscal year with an unqualified [clean], unmodified [clean] audit opinion, and no outstanding Notices of Findings and Recommendations.

**Establish financial processes and systems to address evolving requirements and reporting needs**

**Reengineering internal financial processes:** The USMS successfully developed a streamlined, systematic approach to the monthly Government-wide Treasury Account Symbol Reporting requirement. This approach significantly reduces the amount of time staff spends on compiling report data, allowing more time for

FINANCIAL AUSTIN  
PROCESSING CENTER

In FY 2017, districts submitted more than 98 percent of qualifying financial transactions to the Austin Processing Center. As a result, the USMS realizes benefits from the efficiencies, the economies of scale, and standardized business processes and controls.

analysis and refining data for emerging Treasury and OMB initiatives. Additionally, the approach has increased the overall accuracy of the agency's submission by eliminating the manual manipulation of several large data sets and replacing it with an automated process.

**Expanding the use of mobile payments:** In FY 2017, the USMS expanded the use of the Non-Traditional Alternative Payments program, renamed Digital Pay in 2017 by the Department of the Treasury, from Confidential Informants to include Fact Witness payments. The USMS continued to lead this government-wide initiative at the request of Treasury by increasing the number of payments using e-wallet types of payment such as PayPal, Square Cash, Pop Money, and Western Union, adding another

line of business, or assisting Treasury in expanding these mobile payments to other federal entities. To date, the USMS has successfully processed hundreds of FACT Witness payments using Digital Pay. At the annual industry and government-wide 2017 Government Financial Management Conference hosted by Treasury, the USMS was recognized and held as the standard bearer for being the only federal agency to successfully integrate digital payments in its disbursement and reporting stream.

**Expanding the use of electronic payments:** The USMS began its pilot of the Invoice Processing Platform program, a Web-based service that manages government electronic invoicing, at the request of DOJ's Justice Management Division. This pilot is designed to identify issues as the Department transitions to e-invoicing, as mandated by OMB. The agency routinely shares lessons learned with DOJ and other components based on its experiences with the program pilot. This pilot will continue for the remainder of the calendar year, with additional vendors added in the second half of FY 2018.

**Redesigning Fact Witness Payment workflow:** Annually, the USMS processes more than 30,000 Fact Witness payments. In FY 2017, the agency's redesign of the Fact Witness payment workflow consolidated payment processing in a dedicated five-person Austin Processing Center team and virtually eliminated the role of personnel in this function in all 94 USMS districts.

## **MISSION: MODERNIZATION OF TECHNOLOGY, SYSTEMS, AND BUSINESS PROCESSES**

The USMS must address the dual challenge of supporting legacy systems that lack necessary capabilities and acquiring technology solutions to deliver effective and efficient capabilities. Central to this effort is aligning with best practices and ensuring compliance with federal mandates.

### **Strategic Objective: Address the complexities of Human Resource management in the federal environment**

The USMS Human Resources Division will be structured and staffed to meet the demands of managing the complexities of human capital in today's federal government.

### **Mitigate the mental and emotional trauma of various distressing work force environments**

**Strengthening crisis services:** The USMS increased its ability to provide employee assistance by strengthening its Office of Crisis Services. On a monthly basis, the office's clinical, incident response, and administrative staff respond to hundreds of requests for assistance, with demands on the program expected to increase in the future. The lack of standardized processes and staffing levels presented limited means to collect and report data on program operations, resulting in insufficient justification for the program's needs. To address this issue, the agency initiated a business process analysis to redefine reporting requirements across multiple program areas and to define requirements for a technology solution. The goal of the project was to ensure that the agency is well-equipped to continue supporting its employees' ever-changing needs and improving overall program performance.

**Increasing Mental Health Awareness:** In FY 2017, access to mental health resources expanded to all USMS operational and administrative employees via the Employee Assistance Program. As a result, USMS personnel have access to trained experts who provide information and support regarding issues that may affect the employee's mental health. Increasing mental health awareness improves employee resiliency, safety, efficiency, and overall well-being and results in a more productive workforce. Additionally, more than 60 collateral duty Critical Incident Response Team members across the 94 USMS districts and at headquarters received 24 hours of suicide recognition and intervention training and Train the Trainer instruction on suicide awareness and prevention.

### **Strategic Objective: Leverage technology, modernize business processes, and drive Agency performance**

The USMS will improve data capabilities to provide timely, integrated information for USMS, federal, state, and local law enforcement.

### **Enhance or replace outdated USMS legacy systems with modern, compliant solutions that better enable effective business processes**

**Modernizing mission systems:** Primary systems that support the agency mission need to be modernized. As the first phase of a multi-phase approach to solving this challenge, the agency analyzed more than 170 processes across security management, prisoner management, investigations, and cross-cutting business lines. This process analysis was undertaken in tandem with a business case analysis that recommended the procurement of a commercial off-the-shelf business process automation platform to integrate and automate key business processes into a unified system for the agency. The recommendations led to the successful procurement of the USMS Mission Modernization contract.

**Advancing USMS IT security posture:** The U.S. Marshals Service took proactive steps to strengthen its cyber security defense by employing new tools to more easily index, aggregate, correlate, and search network data. These tools improve network reliability to limit security vulnerabilities and allow the agency to identify users and devices trying to access its network, systems, and applications. These proactive measures provide increased protection of USMS data from hackers, malware, viruses, and other potential cyber attacks.

**Improving Help Desk operations and customer service:** In FY 2017, the agency transitioned its service desk operations to a managed service contract. This resulted in faster problem resolution times, fewer errors and corrective work, and improved the USMS customer service satisfaction ratings. For the first time in years, the average Help Desk wait time decreased to fewer than two minutes, call abandonment rate decreased to less than three percent, and the first contact resolution rate increased to more than 80 percent.

**Strategic Objective: Enable the transition to a mobile workforce to maintain efficiency and effectiveness from anywhere**

The USMS will address the requirement for supporting a location independent workforce to meet the needs of the highly mobile workforce and comply with the OMB and federal mandates to promote teleworking.

**Implement a USMS mobility strategy that includes technology, security, space, policy, and employee work-life balance** At the beginning of FY 2017, the USMS created a comprehensive telework program portal as part of its “Let’s Get to Work” initiative, which centralizes telework, transit subsidies, and parking needs. The telework portal improves regulatory compliance by establishing a process to notify employees of eligibility to telework and documents the notification. It also provides a simple way for employees and managers to establish and maintain telework agreements and improves reporting. These enhancements allow the agency to increase telework participation, which facilitated the transition to a new workspace with a smaller footprint and fewer parking spots. The USMS was recognized for its efforts to promote a variety of transportation options and decrease reliance on single occupancy vehicles from Arlington County, Virginia, which is home to USMS headquarters, with the Arlington County Platinum Champions award.

ENSURING REMOTE ACCESS FOR TELEWORK

To address the complex authentication procedures required to access the agency’s Network remotely, the USMS replaced its token-based capability with a certificate-based solution. The new solution provided mobile devices with a stable and efficient connection into the USMS network, and enhanced the end user’s sign-on experience. The agency further modified a number of services to allow single sign-on access, alleviating the number of passwords users had to remember. The solution gives USMS employees the ability to securely and remotely connect to the USMS network and systems seamlessly.

## MISSION: FACILITIES AND FLEET MANAGEMENT

The USMS established facility and fleet management programs to enhance the security and reliability of agency resources and ensure compliance with regulatory requirements.

**Strategic Objective: Elevate the secure environment of USMS facilities while ensuring equitable distribution of resources**

The USMS will renovate or modify USMS-controlled space and replace electronic security devices to meet security standards in order to maintain the safety and security of judicial officials, courtroom participants, the public, USMS personnel, and prisoners.

**Refine the methodology to establish the priority projects for funding allocation and request, merging need, risk, utilization, safety, and conditions of the facility**

**Streamlining vehicle outfitting:** In FY 2017, the USMS awarded a national vehicle outfitting contract that serves as a one-stop shop for all operational USMS vehicles. A national vehicle outfitting contract improves the overall efficiency of the fleet program for the agency as it allows fully outfitted vehicles to be distributed directly to division and district offices upon purchase. This streamlined distribution and installation process enables the vendor to provide high quality finished products and eliminates the amount of time offices spend soliciting quotes and dealing with vendors individually.

**Consolidating USMS fleet management:** Effective October 1, 2017, the agency transferred all fleet management activities, including all aspects of the administration of fleet credit cards, to the agency's Management Support Division. Realigning these responsibilities will contribute to right-sizing and improving overall supervision of the USMS fleet.

**Develop and implement a plan to reduce the agency's footprint** Over the past decade, renovation demands on the USMS have increased significantly while funding levels have remained the same. Renovations and alterations of USMS-controlled space and replacement of electronic security devices must be completed to meet security standards maintain safety and security for judicial officials, courtroom participants, the public, USMS personnel, and prisoners. In FY 2017, the USMS developed a real property portfolio management plan to prioritize out-year funding for USMS construction projects. The development of a real property portfolio management plan helps to evaluate USMS space and identify and compare space deficiencies across the entire real property portfolio in the areas of prisoner space, non-prisoner space, and secure circulation.

### RELOCATING HEADQUARTERS

The USMS completed its headquarters relocation and building de-commissioning in FY 2017. With the consolidation of USMS headquarters staff, the agency reduced its footprint by approximately 35,000 rentable square feet which translates into \$7.6 million in savings per year in rent.

Relocation allowed the IT staff to shape infrastructure activities and upgrade to the newest technologies and services. IT staff replaced 1,088 laptop computers under its ongoing replacement program, installed 6,450 unique IT devices, made numerous changes to network infrastructure, and deployed many new features and services to include secure wireless access, digital signage, Voice Over Internet Protocol, and enhanced Secure Voice.

A new headquarters also meant a new facility access system. The agency's Tactical Operations Division staff registered more than 1,200 Personal Identification Verification cards to this new system, while maintaining employee access to all facilities during the 4-month relocation period. The new system allows more efficient personnel badging and credentialing, adds dual-process verification capabilities, and allows for enhanced data analytics and reporting functionalities.

**Refine the business processes to create an integrated, transparent, and proactive comprehensive USMS security program**

**Protecting the agency from insider threats:** In FY 2017, the USMS established an insider threat program as required by Executive Order 13587, which directed federal departments and agencies with classified networks to establish insider threat detection and prevention programs. In doing so, the agency became the first DOJ component to meet the Executive Order's standards and achieve full operational capability. Additionally, the agency developed and implemented required computer-based training on insider threat and operations security. These courses increase security awareness, provide employees with the skills to detect and respond to malicious insiders, and ensure that all necessary measures are taken to protect the agency's critical assets from its adversaries, both internally and externally.

**Improving district credentialing:** The agency improved its process to create and maintain Personal Identification Verification cards in districts by providing additional Light Credentialing Solutions and the training to set up and use the new equipment. This solution is part of the General Services Administration's USAccess program that provides agencies with the necessary components to manage the full-life cycle of a Personal Identification Verification credential. The solution ships in a portable case that contains all the software and hardware peripherals needed to enroll applicants and activate credentials. The provision of additional solutions has reduced travel distance and the amount of time it takes for new and transferred personnel to receive a Personal Identification Verification card or PIN reset and allows personnel to have more rapid access to full computer capabilities.

**FY 2015-17 ENACTED RESOURCES BY USMS STRATEGIC GOAL**

Dollar amounts are in the thousands (000s)

[ ] = Funding sources

S&E = Salaries & Expenses

**Goal 1:**

<b>STRATEGIC GOAL 1</b>	2015 Enacted			2016 Enacted			2017 Enacted*		
Judicial and Courthouse Security [S&E] Protection of Witnesses [S&E] Construction [Construction]									
Comparison by activity and program	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount
Judicial and Courthouse Security	1,673	1,510	359,963	1,673	1,380	370,681	1,256	1,141	319,870
Protection of Witnesses	153	141	32,919	153	107	33,900	181	168	39,575
Total Enacted - S&E	1,826	1,651	392,882	1,826	1,487	404,581	1,437	1,309	359,445
Reimbursable FTE		18			19			23	
Total Enacted with Reimbursable FTE - S&E	1,826	1,669	392,882	1,826	1,506	404,581	1,437	1,332	359,445
Construction	0	0	9,800	0	0	15,000	0	0	10,000
Grand Total Enacted - S&E and Construction	1,826	1,669	402,682	1,826	1,506	419,581	1,437	1,332	369,445

Note: Represents S&E operational resources only and Construction appropriation

**Goal 2:**

<b>STRATEGIC GOAL 2</b>	2015 Enacted			2016 Enacted			2017 Enacted		
Fugitive Apprehension [S&E]									
Comparison by activity and program	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount
Fugitive Apprehension	1,301	1,186	279,923	1,301	1,214	288,258	1,524	1,379	361,636
Total Enacted - S&E	1,301	1,186	279,923	1,301	1,214	288,258	1,524	1,379	361,636
Reimbursable FTE		115			99			106	
Total Enacted with Reimbursable FTE - S&E	1,301	1,301	279,923	1,301	1,313	288,258	1,524	1,485	361,636

Note: Represents S&E operational resources only

**Goal 3:**

<b>STRATEGIC GOAL 3</b> Prisoner Security & Transportation (S&E) Detention Services (FPD) Justice Prisoner and Transportation System (JPATS)	2015 Enacted			2016 Enacted			2017 Enacted		
	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount
Comparison by activity and program									
Prisoner Security and Transportation	878	819	188,911	878	756	194,535	724	685	162,901
Total Enacted - S&E	878	819	188,911	878	756	194,535	724	685	162,901
Reimbursable FTE		0			0			0	
Total Enacted with Reimbursable FTE - S&E	878	819	188,911	878	756	194,535	724	685	162,901
Detention Services	17	17	1,473,307	19	19	1,258,440	27	17	1,430,414
Grand Total Enacted - S&E and FPD	895	836	1,662,218	897	775	1,452,975	751	702	1,593,315

JPATS	123	95	49,603	123	107	52,916	123	108	51,565
Total Operating (President's Budget) Level - JPATS	123	95	49,603	123	107	52,916	123	108	51,565
Actual Operating Level - JPATS	123	95	47,296	123	107	53,182	123	94	42,990

Note: Represents S&E operational resources only , FPD appropriation, and JPATS Revolving Fund

**Goal 4:**

<b>STRATEGIC GOAL 4</b> Tactical Operations (S&E)	2015 Enacted			2016 Enacted			2017 Enacted		
	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount
Comparison by activity and program									
Tactical Operations	129	120	27,756	129	133	28,582	122	115	42,532
Total Enacted - S&E	129	120	27,756	129	133	28,582	122	115	42,532
Reimbursable FTE		36			36			33	
Total Enacted with Reimbursable FTE - S&E	129	156	27,756	129	169	28,582	122	148	42,532

Note: Represents operational resources only

**Goals 5&6:**

<b>STRATEGIC GOAL 5&amp;6</b> All S&E Decision Units [S&E]	2015 Enacted			2016 Enacted			2017 Enacted		
Comparison by activity and program	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount	Perm Pos	FTE	Amount
Judicial and Courthouse Security	549	532	118,123	549	500	121,640	409	403	104,161
Fugitive Apprehension	443	416	95,316	443	435	98,154	532	489	126,241
Prisoner Security and Transportation	326	287	70,142	326	271	72,231	275	242	61,875
Protection of Witnesses	54	49	11,619	54	39	11,965	65	60	14,212
Tactical Operations	48	43	10,328	48	41	10,635	46	41	16,037
<b>Total Enacted - S&amp;E</b>	<b>1,420</b>	<b>1,327</b>	<b>305,528</b>	<b>1,420</b>	<b>1,286</b>	<b>314,625</b>	<b>1,327</b>	<b>1,235</b>	<b>322,526</b>
Reimbursable FTE		256			256			175	
<b>Total Enacted with Reimbursable FTE - S&amp;E</b>	<b>1,420</b>	<b>1,583</b>	<b>305,528</b>	<b>1,420</b>	<b>1,542</b>	<b>314,625</b>	<b>1,327</b>	<b>1,410</b>	<b>322,526</b>
Note: Represents S&E administrative resources only									

\*The FY 2017 column reflects the enacted funding levels by decision unit.

**ACRONYM LIST**

AFP	Asset Forfeiture Program
BOP	Bureau of Prisons
CIU	Cyber Intelligence Unit
CSO	Court Security Officer
DHS	Department of Homeland Security
DOJ	Department of Justice
DUSM	Deputy U.S. Marshal
FBI	Federal Bureau of Investigation
HIDS	Home Intrusion Detection System
HRFA	High-risk fugitive apprehension
ICE	Immigration and Customs Enforcement
IGA	Intergovernmental Agreement
IPC	Interdiction for the Protection of Children
JPATS	Justice Prisoner and Alien Transportation System
MOU	Memorandum of Understanding
OMB	Office of Management and Budget
SAG	Self-Assessment Guide
SOP	Standard Operating Procedures
USMS	United States Marshals Service

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