

U.S. OFFICE OF PERSONNEL MANAGEMENT

OPERATING MANUAL UPDATE

Washington, DC 20415

May 31, 2001

The Guide to Personnel Recordkeeping

Update 7

Summary of Changes

NOTE TO USERS

The Guide to Personnel Recordkeeping is in electronic format only. It has not been printed and distributed by the U.S. Government Printing Office since fiscal year 2000. A complete and current copy of The Guide can be found on OPM's website by selecting "Personnel Recordkeeping" at <http://www.opm.gov/feddata/guidance.htm>.

For the convenience of those maintaining printed copies of The Guide, we have attached not only the pages we have changed but also the pages that were printed on the front or back of those pages. For example, we changed page 1-11 but we've attached pages 1-11 and 1-12 because page 1-12 was printed on the back of page 1-11.

Remove		Insert	Explanation of Changes
Page	Last Revised By	Page	
Table of Contents	Update 5 December 31, 1998	Table of Contents	Updates material to reflect current pagination.
1-9 thru 1-12	various	1-9 thru 1-12	(1) Updates title of FEHB Handbook. (page 1-10) (2) Removes Ethics Pledge revoked by Executive Order 13184 and Statement of Selective Service Status from the list of documents that must be maintained in paper. (page 1-11)
2-9 thru 2-10	Update 4 October 31, 1997	2-9 thru 2-10	Revises information on Senior Executive Service performance records to match 5 CFR 430.307(b)(3) and 5 CFR 430.311(c). (page 2-10)
2-13 thru 2-14	Update 5 December 31, 1998	2-13 thru 2-14	Replaces the U.S. Information Agency with the Broadcasting Board of Governors to reflect current agency organizations. (page 2-14)
3-1 thru 3-2	Update 5 December 31, 1998	3-1 thru 3-2	Updates the index pagination. (page 3-1)

The Guide to Personnel Recordkeeping (2)

Summary of Changes — continued

Remove		Insert	Explanation of Changes
Page	Last Revised By	Page	
3-11 thru 3-12	Update 3 July 31, 1997	3-11 thru 3-12	(1) Removes Ethics Pledge - Pledge and commitments under the Pledge were revoked by Executive Order 13184 (page 3-11) (2) Adds Optional Form 306 under Selective Service Registration Status (page 3-12)
3-17 thru 3-22	various	3-17 thru 3-22	(1) Add court or administrative order under FEHB Children's Equity Act as example of an authorized attachment to Health Benefits Registration Form. (page 3-18) (2) Add the FEHB Premium Conversion Waiver/Election Form. (page 3-19) (3) Add the document approving CSRS retirement coverage as required by 5 CFR 831.205 to the list of coverage determinations. (page 3-20) (4) Change pagination.
4-1 thru 4-4	various	4-1 thru 4-4	(1) Add reference to Standard Form 3100. (page 4-2) (2) Revise instructions for requesting payroll records from the National Personnel Records Center. (page 4-3)
6-13 thru 6-14	Update 4 October 31, 1997	6-13 thru 6-14	Update the Agency for International Development's address. (page 6-13)
7-3 thru 7-6	various	7-3 thru 7-6	Revises information on Senior Executive Service performance records to match 5 CFR 430.307(b)(3) and 5 CFR 430.311(c). (pages 7-3 and 7-5)
7-9 thru 7-10	Update 5 December 31, 1998	7-9 thru 7-10	Revises information on Senior Executive Service performance records to match 5 CFR 430.307(b)(3) and 5 CFR 430.311(c). (page 7-9)
8-1 thru 8-9	Update 5 December 31, 1998	8-1 thru 8-9	Revises index to reflect changes in Chapter 3 - forms added, deleted, and new pagination.

Guide to Personnel Recordkeeping -- Table of Contents

CHAPTER 1 - GENERAL PERSONNEL RECORDKEEPING POLICIES

!	Overview	1-1
!	General Records Management	1-2
!	Safeguarding Records	1-6
!	Interagency Personnel Records	1-7
!	Storing Official Personnel Folders In Media Other Than Paper	1-9

CHAPTER 2 - ESTABLISHING PERSONNEL RECORDS

!	Overview	2-1
!	Identifying Prior Federal Civilian Service	2-2
!	Requesting Records for Prior Service	2-3
!	Establishing Folders	2-5
!	Reviewing and Combining Records	2-10
!	Table 2-A: Employment Systems Outside the Office of Personnel Management's Recordkeeping Authority	2-12

CHAPTER 3 - FILING DOCUMENTS IN THE PERSONNEL FOLDER

!	Overview	3-1
!	General Filing Procedures	3-2
!	Information About the Tables	3-6
!	Filing Instructions:	
!	Table 3-A: Applications for Federal Employment	3-7
!	Table 3-B: Appointment Support	3-9
!	Table 3-C: Awards	3-17
!	Table 3-D: Benefits	
	Health Insurance	3-18
	Life Insurance	3-19
	Retirement	3-20
	Thrift Savings Plan	3-24
!	Table 3-E: Investigative Process	3-25
!	Table 3-F: Personnel Actions	3-27
!	Table 3-G: Other Personnel Documents	3-32
!	Table 3-H: Changes in Filing Requirements	3-38

Guide to Personnel Recordkeeping -- Table of Contents

CHAPTER 4 - HOW TO RECONSTRUCT A PERSONNEL FOLDER 4-1

CHAPTER 5 - "JOINTLY-OWNED" PERSONNEL FOLDERS 5-1

CHAPTER 6 - HOW TO RESPOND TO REQUESTS FOR INFORMATION

!	Overview	6-1
!	Request From a Current Employee	6-2
!	Request From a Former Employee	6-5
!	Request from a Government Official	6-6
!	Request from the Public	6-8
!	Accounting of Disclosure from Personnel Records	6-11
!	Table 6-A: Request for Information Owned by Other Agencies	6-12

CHAPTER 7 - TRANSFERRING RECORDS

!	Overview	7-1
!	Transferring Personnel Records	7-2
!	Transferring Records Within the Agency	7-3
!	Transferring Records to Another Agency	7-4
!	Table 7-A: Sample Transcript Used in Lieu of Transferring Folders	7-7
!	Transferring Records to the National Personnel Records Center	7-8
!	Notice to Separated Employees - Retention of Personnel and Medical Folders	7-11
!	Sending Records	7-12

CHAPTER 8 - INDEX OF DOCUMENTS

!	Overview	8-1
!	Index of Documents by Form Number	8-2
!	Index of Documents by Title	8-4

Storing Official Personnel Folders in Media Other Than Paper

Coverage

These instructions refer to storing Official Personnel Folders, the permanent records that follow an employee throughout his or her career. The Official Personnel Folders are under the Office of Personnel Management's control although they are in the physical custody of the employing agencies.

These instructions do **not** apply to agency personnel processing systems. These systems are designed to support personnel operations, feed payroll systems, and meet managers', personnelists', and employees' needs for information necessary to manage day-to-day operations. Agencies may create and store their internal, operational information as they choose, subject to general National Archives and Records Administration recordkeeping guidance. These records are **not** a substitute for the official, permanent documentation that constitutes the Official Personnel Folder.

Example: The payroll/personnel system operated through National Finance Center processes personnel actions, uses that information to process pay actions, and stores personnel information for access by appropriate employees. The National Finance Center system is not covered by these instructions. The Standard Forms 50 and other documents produced by the system become part of an Official Personnel Folder. That Official Personnel Folder is covered by these instructions.

Storing Official Personnel Folders in Media Other than Paper, Continued

Creating Records These instructions apply to recordkeeping, **not** to the process for creating the record. The circumstances under which a record is created are defined in the appropriate program regulations and guidance.

Example: These instructions cover filing Official Personnel Folder copies of health benefits registration forms. The Office of Personnel Management Operating Manual, [FEHB: A HANDBOOK FOR ENROLLEES AND EMPLOYING OFFICES](#) tells when to create a health benefits registration form.

Agencies that want to create electronic versions of Standard or Optional Forms must get approval from the Agency that sponsors the Form. For most of the forms in the Official Personnel Folder, the Office of Personnel Management is the sponsoring agency.

Example: The Office of Personnel Management is the sponsoring agency for Standard Form 50, “Notification of Personnel Action.”

Example: The Federal Retirement Thrift Investment Board is the sponsoring agency for TSP-1, “Thrift Savings Plan Election Form.”

The sponsoring Agency establishes procedures for approving electronic processing systems. These systems allow records to be generated electronically, authorized or approved by electronic means, including electronic certification or electronic signature, and stored electronically. Program regulations or operational guidance are the usual sources for these procedures.

Example: Procedures for creating electronic processing systems for the Standard Form 50, “Notification of Personnel Action” are in the Office of Personnel Management Operating Manual, [THE GUIDE TO PROCESSING PERSONNEL ACTIONS](#).

Storing Official Personnel Folders in Media Other than Paper, Continued

Exclusions

The following documents must always be retained in paper:

- C RI 76-10, Assignment of Federal Employees' Group Life Insurance
 - C Standard Form 2823, Designation of Beneficiary Under the Federal Employees' Group Life Insurance Program
 - C Standard Form 3102, Federal Employees Retirement System Designation of Beneficiary
 - C ALL paper documents in a Merged Records Personnel Folder covering periods of employment not under the Office of Personnel Management's recordkeeping authority.
-

Storing Official Personnel Folders in Media Other than Paper, Continued

Microforms

The Office of Personnel Management may approve requests to create microform Official Personnel Folders both for storage while the employee is serving with the office that creates the microform and for transfer to the next employing office or the National Personnel Records Center. (Note: the forms listed under Exclusions may not be part of the microform Folder.)

Microform Official Personnel Folders must meet the National Archives and Records Administration standards for microform records. These standards are found in [part 1230 of title 36, Code of Federal Regulations](#).

Offices planning to maintain microform Official Personnel Folders should obtain a copy of the Guidelines and Control Requirements for Microform Official Personnel Records. These Guidelines include information on the format, organization, and maintenance of microform records. Address requests to:

Assistant Director for Workforce Information
Office of Merit Systems Oversight and Effectiveness, Room 7439
Office of Personnel Management
1900 E Street, NW.
Washington DC 20415-6000
email: owi@opm.gov.

Offices must submit a microforms operations plan that describes how they will create and maintain microform Official Personnel Folders that meet the National Archives and Records Administration and Office of Personnel Management requirements. After the microforms operations plan is approved, the office may create microform folders but must continue to maintain paper folders for the period specified in the plan's approval. At the end of that period, the office must certify that their microform system meets all requirements in the operations plan. The Office of Personnel Management and the National Archives and Records Administration may authorize retention of the microform Official Personnel Folders as the official record. On that joint approval, the office may destroy the paper folders except for the forms listed under Exclusions. The microform folders will then be the official records.

Offices maintaining microform Official Personnel Folders as the official record will transfer those microform records just as they would transfer paper records.

Establishing Folders, Continued

Do not make any marks or notations on the folder

Do not add any markings, notations, or tabs to the Official Personnel Folder, Merged Records Personnel Folder, or Employee Medical Folder. Do not add any markings or notations on the label. Only official codes authorized by the National Personnel Records Center are permitted on the front of the folder.

When using a bar code labeling system, place the bar code label:

- ! on the side of the folder containing the file label, but at the end opposite the employee's name, or
 - ! on the back of the folder.
-

Reviewing and Combining Records

Rule If the employee had prior Federal civilian service, records for that service must be combined with records for the current period of employment in a single file or folder. Follow the procedures below to review and combine records.

Example: The National Personnel Records Center sends two Official Personnel Folders in response to a request for a new employee's records. The records from these two folders must be combined with the records created during the appointment process into a single Official Personnel Folder.

Performance records

The left side of the personnel folder should contain the performance records that are transferred from agency to agency. These records are:

Senior Executive Service	All Others
Annual summary ratings that are five years old or less; any appraisals prepared since the most recent annual summary rating; and performance plans for each rating.	Ratings of record that are four years old or less. Ratings of record include the evaluation of the employee's performance against the elements and standards plus the summary level, pattern, and ending date of the appraisal.

If the performance records are not in the folder and it appears that the employee was subject to a performance appraisal system, request the records from the former employer.

Follow the agency's instructions for filing performance records.

Medical records

Review records in the Employee Medical Folder to ensure that they are in chronological order. Combine these records with any medical records created during the appointment process.

Follow the agency's instructions for filing medical records.

Table 2-A: Employment Systems Outside the Office of Personnel Management's Recordkeeping Authority, Continued

Table, Continued

Employment System or Agency	Description
Civilian Intelligence Personnel Management System	Used by the Department of Defense, including the Departments of Air Force, Army, and Navy. Identify by legal authority UAM on records. Transfers personnel folders. Use the Merged Records Personnel Folder.
Congressional Budget Office	Identify service by the agency name. Service documented by a transcript. Use the Official Personnel Folder.
District of Columbia Government	Identify service by the agency name. Service prior to January 1, 1980 should be documented in an Official Personnel Folder. Service on and after January 1, 1980 is documented by a transcript. Use the Official Personnel Folder.
Federal Bureau of Investigation	Identify service by the agency name. Service documented by a transcript. Use the Official Personnel Folder.
Federal Judicial Center	Identify service by the agency name. Transfers personnel folders. Use the Merged Records Personnel Folder.

Table 2-A: Employment Systems Outside the Office of Personnel Management's Recordkeeping Authority, Continued

Table, Continued

Employment System or Agency	Description
Foreign Service	<p>Used by: Agency for International Development Broadcasting Board of Governors Department of Agriculture, Animal and Plant Health Inspection Service Foreign Agriculture Service Department of Commerce, International Trade Administration Department of State Peace Corps .</p> <p>Identify service by Foreign Service Folder and legal authority UFM and pay plan FA, FE, FO, FP, or FZ on records. Transfers personnel folders. Use Foreign Service (Administrative) Folder.</p>
General Accounting Office	<p>Identify service by the agency name. Transfers personnel folders. Use the Merged Records Personnel Folder.</p>
Library of Congress	<p>Identify service by the agency name. Transfers personnel folders. Use the Merged Records Personnel Folder.</p>
Medical and Other Positions Filled Under Title 38 United States Code - Department of Veterans Affairs	<p>Identify service by combination of agency, legal authority V8V and pay plans VM, VN, or VP on records. Transfers personnel folders. Use the Merged Records Personnel Folder.</p>
National Security Agency	<p>Identify service by the agency name. Transfers personnel folders. Use the Merged Records Personnel Folder.</p>

Chapter 3

Filing Documents in the Personnel Folder

Overview

In this chapter This chapter provides instructions for filing personnel documents in the personnel folder. The subject categories are listed below.

Topic	See Page
General Filing Procedures	3-2
Information About the Tables	3-6
Filing Instructions:	
Table 3-A. Applications for Federal Employment	3-7
Table 3-B. Appointment Support	3-9
Table 3-C. Awards	3-17
Table 3-D. Benefits	
! Health Insurance	3-18
! Life Insurance	3-19
! Retirement	3-20
! Thrift Savings Plan	3-24
Table 3-E. Investigative Process	3-25
Table 3-F. Personnel Actions	3-27
Table 3-G. Other Personnel Documents	3-32
Table 3-H. Changes in Filing Requirements	3-38

General Filing Procedures

Introduction	<p>Records are filed in the Official Personnel Folder to document events in an individual's Federal employment history that have long-term consequences for the employee and the Government. Care should be exercised in filing documents correctly to ensure that all documents pertaining to an employee's rights and benefits are available in the personnel folder when needed.</p> <p>Personnel folder documents are either long-term or temporary documents. Certain documents must never be filed in the personnel folder.</p>
Long-term documents	<p>Long-term documents are records kept for the life of the folder, usually 115 years from the employee's date of birth. These documents are filed in chronological order on the right side of the personnel folder.</p>
Temporary documents	<p>Temporary documents are documents that are not kept for the life of the personnel folder. These documents are filed on the left side of the folder.</p>
Prohibited documents	<p>Prohibited documents are records that must never be placed in a personnel folder. The prohibition may come from law, such as the Privacy Act, or from regulation such as title 29, Code of Federal Regulations.</p> <p>Example: Standard Form 181, Race and National Origin Identification.</p>
Rescinded filing requirements	<p>Rescinded filing requirements are document filing requirements that are cancelled as of a given date. When filing requirements are rescinded, the document(s) should no longer be filed on the right side of the personnel folder. See table 3-H for instructions on handling documents already on file in the personnel folder.</p>

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>DECLARATIONS</p> <p>Optional Form 306 Declaration for Federal Employment</p> <p>Standard Form 61-B (obsolete) Declaration of Appointee</p>	<p>File these forms on the right side.</p>
<p>MILITARY SERVICE</p> <p>Records that document military service creditable for leave accrual, reduction-in-force, retirement or veterans' preference include:</p> <p>DD 214 Certificate of Release or Discharge from Active Duty</p> <p>Letters from military academies</p> <p>National Guard Bureau and Reserve reports of separation and records of service</p> <p>Standard Form 813 (formerly Office of Personnel Management Form 813) Verification of a Military Retiree's Service in Nonwartime Campaigns or Expeditions</p> <p>Statements from the Armed Forces accepted by the agency as proof of military service</p>	<p>File military service records on the right side.</p> <p>These records may be attached to other forms, such as the Standard Form 15, Application for 10-Point Veteran Preference or the Standard Form 144, Statement of Prior Federal Service.</p>
<p><i>Table 3-B continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>REFERENCE CHECKS/ PRE-EMPLOYMENT INQUIRIES</p> <p>Documents that show results from checks made of employment or personal references, or pre-employment vouchers and inquiries (including telephone inquiries)</p>	<p>Do not file such documents in the personnel folder.</p> <p>If kept, file documents in the recruitment file.</p>
<p>SELECTIVE SERVICE REGISTRATION</p> <p>Proof of Selective Service registration status includes:</p> <p>Acknowledgement letter or other proof of registration or exemption issued by the Selective Service System annotated and signed by the employee</p> <p>Agency reproduction of Applicant's Statement of Selective Service Registration Status in 5 Code of Federal Regulations 300.704</p> <p>Office of Personnel Management Form 1583 (obsolete) Statement of Selective Service Registration Status</p> <p>Optional Form 306 Declaration for Federal Employment</p>	<p>File the statement or other proof on the right side.</p>
<p><i>Table 3-B continued on next page</i></p>	

Table 3-C: Awards

List of documents This table provides instructions for filing awards.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>AGENCY AWARD FORMS</p> <p>Agency forms, certificates, letters, etc. for cash awards that do not affect an employee's rate of basic pay</p>	<p>Retain documents on the right side only if they show that an award was granted under a formal agency award program and:</p> <ul style="list-style-type: none"> ! the award was dated prior to 1986. (Standard Form 50 became the official documentation for awards in 1986.) <p>OR</p> <ul style="list-style-type: none"> ! the award was dated between 1986 and 1998 and the agency form was an approved substitute for the Standard Form 50. <p>Effective January 1, 1999, only documentation of Senior Executive Service rank awards may be filed on the right side of the Official Personnel Folder. No other awards actions effective after December 31, 1998, are authorized for long term (right side) retention.</p>
<p>AWARD JUSTIFICATION</p> <p>Award justification and other reference material</p>	<p>Do not file this material in the personnel folder.</p> <p>File this material according to agency instructions. Recommendations for awards and supporting documentation are part of the Employee Performance Records system discussed in Chapter 1.</p>

Table 3-D: Benefits

List of documents This table provides instructions for filing benefits.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
HEALTH INSURANCE	
<p>ENROLLMENT</p> <p>Standard Form 2809 Health Benefits Registration Form including any authorized attachments, such as:</p> <ul style="list-style-type: none"> Court or Administrative Order under FEHB Children’s Equity Act Medical documentation used in making a self-support determination for a child 22 years of age or over; Statement of foster child status; Statement supporting acceptance of a late registration. <p>Standard Form 2810 Notice of Change in Health Benefits including any authorized attachments, such as:</p> <ul style="list-style-type: none"> Employee’s election to terminate benefits during a period of nonpay status or insufficient pay. <p>Transcript Office of Personnel Management approved documentation of health benefits enrollments processed electronically (for example, through Employee Express)</p>	<p>File these documents on the right side.</p> <p>NOTE: To limit access, medical certificates and documentation should be placed in a sealed envelope before being attached to any enrollment forms.</p>
<i>Table 3-D continued on next page</i>	

Table 3-D. Benefits

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
HEALTH INSURANCE, Continued	
<p>INDEBTEDNESS TO HEALTH BENEFITS FUND</p> <p>Documentation that the employee is indebted to the health benefits fund, including election to continue coverage and the amount owed</p>	<p>File these documents on the left side until the debt is paid. Once the debt is paid, the material must be removed.</p> <p>NOTE: These procedures apply to debt for pay periods that began before September 30, 1996. Debt for later periods is to the agency not to the health benefits fund and all documentation remains with the agency to which the employee is indebted.</p>
<p>PREMIUM CONVERSION WAIVER/ELECTION</p> <p>Form used to elect or waive pre-tax treatment of employee FEHB premiums</p>	<p>File this form on the right side.</p>
<p>TEMPORARY CONTINUATION OF COVERAGE</p> <p>Notice of eligibility for temporary continuation of health benefits coverage (signed copy or file copy with delivery receipt attached).</p>	<p>File these documents on the right side.</p> <p>NOTE: Information on enrollment, payments, and other correspondence on the period of continued coverage should be part of a separate health benefits file.</p>
LIFE INSURANCE	
<p>LIFE INSURANCE FORMS</p> <p>All life insurance forms must be filed in the Official Personnel Folder unless a form contains specific instructions to do something different.</p>	<p>Follow instructions on the life insurance form. In general, file these documents on the right side.</p> <p>Refer to the Federal Employees' Group Life Insurance Program Handbook for Employees, Annuitants, Compensationers and Employing Offices.</p>
<i>Table 3-D continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RETIREMENT	
<p>COVERAGE DETERMINATIONS</p> <p>Any documentation of an individual's retirement coverage, including approval of CSRS coverage under 5 CFR 831.205 and coverage under CSRS-Special or FERS-Special.</p>	<p>File these documents on the right side.</p> <p>NOTE: Determinations may be made by the agency or the Office of Personnel Management.</p>
<p>DEPOSITS FOR MILITARY SERVICE</p> <p>Applications: Standard Form 2803 Application to Make Deposit or Redeposit - Civil Service Retirement System</p> <p>Standard Form 3108 Application to Make Service Credit Payment for Civilian Service - Federal Employees Retirement System</p> <p>Earnings: RI 20-97 Estimated Earnings during Military Service</p> <p>Election: Office of Personnel Management Form 1515 Military Service Deposit Election</p> <p>Worksheet: Office of Personnel Management Form 1514 Military Deposit Worksheet</p>	<p>File applications on the left side.</p> <p>File earnings statements on the right side.</p> <p>File elections on the right side.</p> <p>File worksheets on the right side.</p>
<i>Table 3-D continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RETIREMENT, Continued	
<p>DESIGNATION OF BENEFICIARY</p> <p>Standard Form 3102 Federal Employees Retirement System Designation of Beneficiary including any authorized attachments, such as a trustee designation.</p>	<p>File these documents on the right side.</p> <p>NOTE: This form is sent to the Office of Personnel Management when the employee leaves Federal service.</p>
<p>DISABILITY RETIREMENT</p> <p>Notice of Approval of Disability Retirement Application</p>	<p>File these documents on the right side.</p>
<p>ELECTIONS</p> <p>Election of Federal Employees Retirement System with Credit for Nonappropriated Fund Instrumentality Service under Public Law 104-106</p> <p>Election of Retroactive Nonappropriated Fund Instrumentality Retirement Coverage by Federal Employees Retirement System Employees under Public Law 104-106</p> <p>Notice employee elected to retain coverage under a Nonappropriated Fund Retirement Plan</p> <p>Notice of right to elect continued coverage while serving in a non-Federal organization</p>	<p>File these documents on the right side.</p>
<i>Table 3-D continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RETIREMENT, Continued	
<p>ELECTIONS, Continued</p> <p>Office of Personnel Management Form 1561 (obsolete) Retirement Election for Certain Senior Officials</p> <p>RI 38-130 (formerly Standard Form 2816) Retirement, Life Insurance, and Health Benefits under the Indian Self-Determination and Educational Assistance Act - P.L. 93-638</p> <p>Standard Form 3109 (formerly Office of Personnel Management Form 1555) Election of Coverage and any approved attachments such as an authorization for retroactive election</p> <p>Standard Form 3110 (formerly Office of Personnel Management Form 1556) Former Spouse's Consent to Federal Employees Retirement System Election</p> <p>Standard Form 3111 (formerly Office of Personnel Management Form 1560) Request for Waiver, Extension or Search in Connection with Election of Federal Employees Retirement System and any authorized attachments</p>	<p>File these documents on the right side.</p>
<i>Table 3-D continued on next page</i>	

Chapter 4

How to Reconstruct a Personnel Folder

Introduction An agency must start to reconstruct the personnel folder upon learning that the folder is lost or destroyed. Reconstruction includes:

- ! Copying all applicable documents the agency can get from the employee, personnel office files, payroll office, Social Security Administration, etc., and
 - ! Documenting the reconstruction.
-

Place a notice of the reconstruction in the folder A transcript of service serves as the notice of reconstruction. The transcript is to remain as the top document of the reconstructed portion in the personnel folder. See Chapter 7 of this *Guide* for instructions on creating a transcript of service.

Procedures Use the following procedures to reconstruct the personnel folder.

Step	Action
1	Copy any relevant documents the employee can furnish. For example: <ul style="list-style-type: none"> ! Applications for Federal Employment, ! Standard Forms 50, Notifications of Personnel Action, ! Earnings and Leave Statements.
2	Request a computer-generated employment history from agencies where the individual was previously employed. <p style="margin-left: 40px;">NOTE: While agencies are no longer required to keep Chronological File copies of Standard Forms 50, Notifications of Personnel Action, request copies when they may be available.</p>
<i>Continued on next page</i>	

Step	Action	
3	Request retirement records.	
	<p data-bbox="548 359 967 432">If the employee made retirement contributions...</p> <p data-bbox="548 464 967 730">Request a copy of all Individual Retirement Records, Standard Form 2806 and 3100. Provide the employee's name, social security number, and date of birth for each Individual Retirement Record requested.</p> <p data-bbox="548 779 805 814">Send the request to:</p> <p data-bbox="548 863 976 1010">Office of Personnel Management Retirement Operations Center, P. O. Box 45 Boyers, PA 16017</p> <p data-bbox="548 1058 963 1325">Requests may also be faxed to 724-794-4668. Take care that privacy of the personal information is maintained when requesting an Individual Retirement Record be faxed to the personnel office.</p>	<p data-bbox="1000 359 1377 432">If the employee made social security contributions...</p> <p data-bbox="1000 464 1390 688">Request that the individual get detailed earnings information from the Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235.</p> <p data-bbox="1000 737 1414 852">NOTE: Advise the employee to use Form SSA-7050-F3 to request this information.</p> <p data-bbox="1000 858 1424 932">Requested information should be earnings by each employer.</p> <p data-bbox="1000 980 1424 1205">It is important that the employee know that the Social Security Administration will charge a fee for this service and that the fee is based on the number of years of earnings to be reported.</p>
<i>Continued on next page</i>		

Step	Action	
4	<p>Ask the National Personnel Records Center to search for personnel and payroll records. Address the request to:</p> <p>National Archives and Records Administration, National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, ATTENTION: Chief, Civilian Reference Branch (DO NOT OPEN IN MAILROOM).</p>	
	<p>To request a search for the personnel folder:</p>	<p>To request a search for payroll records:</p>
	<p>Submit a Standard Form 127, Request for Official Personnel Folder (OPF). In the Remarks section, put:</p> <p>"The OPF for this employee is lost or destroyed. This is to request that a search be made by NPRC for the OPF of the named employee."</p> <p>This statement is required to insure that the missing Official Personnel Folder was not inadvertently returned to the National Personnel Records Center.</p>	<p>Submit a memo on agency letterhead. Include the employee's name, social security number, agency in which employed and the following:</p> <p>"This is to request a search of any payroll records on the named employee that may be stored at NPRC."</p> <p>Not all agencies store payroll records at the National Personnel Records Center. If NPRC does not have the records, contact the agency.</p>
5	<p>Obtain any copies of certificates establishing the employee's qualifications for specific jobs. Contact the office that issued appointment certificates for the individual.</p>	
6	<p>Use records from the investigative files and security clearances, where appropriate, that document Federal service.</p>	
<p><i>Continued on next page</i></p>		

Step	Action	
7	<p>Prepare a transcript of service. Refer to Chapter 7 of this <i>Guide</i> for instructions on transcript preparation.</p> <p>An introductory paragraph should be added to the transcript identifying the documents used to prepare the transcript.</p> <p>Example: "The following transcript of Federal service was prepared from a Standard Form 2806, Individual Retirement Record, maintained by the Office of Personnel Management."</p>	
8	<p>Follow instructions in Chapter 2 of this <i>Guide</i> to select the correct folder. File the transcript of service in the folder. The transcript will be the top form of the reconstructed portion of the personnel folder. Documents located during the reconstruction process should be filed beneath the transcript.</p>	
9	<p>Use the tables in Chapter 3 of this <i>Guide</i>. Documents listed as prohibited in Chapter 3 may not be filed in a reconstructed personnel folder.</p>	
	<p>Documents that may be filed with the transcript:</p>	<p>Documents that MAY NOT be filed with the transcript:</p>
	<ul style="list-style-type: none"> ! Any documents that support benefits ! Any Standard Forms 50, Notification of Personnel Actions 	<ul style="list-style-type: none"> ! Standard Form 2806 or 3100, Individual Retirement Record ! Computer-generated employment histories ! Payroll records ! Social Security earnings report

Table 6-A: Request for Information Owned by Other Agencies, Continued**Addresses**

This table provides addresses for agencies that may own records in a Merged Records Personnel Folder or Foreign Service folder. Use this table to refer requests for access to, disclosure from, or amendment of any records created by that agency.

Agency	Address
Administrative Office of the U.S. Courts	Administrative Office of the U.S. Courts Human Resources Division 1 Columbus Circle, NE. Washington, DC 20544
Agency for International Development (Foreign Service employees)	Agency for International Development M/HR/OD Room 2.08-011 1300 Pennsylvania Avenue, NW. Washington, DC 20523
Army and Air Force Exchange Service (Nonappropriated Fund employees)	Army and Air Force Exchange Service HA-AAFES, ATTN:PE-P P.O. Box 660202 Dallas, TX 75266-0202

Table 6-A: Request for Information Owned by Other Agencies, ContinuedAddresses,
continued

Agency	Address
<p>Department of Agriculture</p> <p>Animal and Plant Health Inspection Service</p> <p>(Foreign Service employees)</p> <p>Foreign Agriculture Service</p> <p>(Foreign Service employees)</p>	<p>Chief, Resource Management Support Staff</p> <p>International Services</p> <p>Animal and Plant Health Inspection Service</p> <p>U.S. Department of Agriculture</p> <p>4700 River Road, Unit 65</p> <p>Riverdale, MD 20737</p> <p>Personnel Officer</p> <p>Foreign Agriculture Service</p> <p>U.S. Department of Agriculture</p> <p>14th & Independence Avenue</p> <p>Washington, DC 20250</p>
<p>Department of Air Force</p> <p>(Civilian Intelligence Personnel Management System employees)</p> <p>(Nonappropriated Fund employees)</p>	<p>Department of the Air Force</p> <p>HQUSAF/DPCE</p> <p>1040 Air Force Pentagon</p> <p>Washington, DC 20330-1040</p> <p>Department of the Air Force</p> <p>HQ AFMWRSA/MWXHC</p> <p>550 C Street W, Suite 56</p> <p>Randolph AFB, TX 78150-4758</p>

Transferring Records Within the Agency

Follow agency instructions

Follow agency instructions on transferring personnel records from one personnel office to another in the same agency.

As a **minimum**, the following records must be transferred:

- ! the personnel folder (Official Personnel Folder, Merged Records Personnel Folder or Foreign Service Folder) with all long-term (right side) documents;
- ! all long-term medical documents;
- ! performance records that include

Senior Executive Service	All Others
Annual summary ratings that are five years old or less; any appraisals prepared since the most recent annual summary rating; and performance plans for each rating.	Ratings of record that are four years old or less, including the performance plan on which the most recent rating was based. Ratings of record include the evaluation of the employee's performance against the elements and standards plus the summary level, pattern, and ending date of the appraisal.

Transferring Records to Another Agency

Requests

Requests for an employee's personnel records should be made in writing and should include documentation of the employee's appointment in the requesting agency. (A Standard Form 50, Notification of Personnel Action, or a Standard Form 52, Request for Personnel Action showing the appointment and its effective date are the normal documentation sent when requesting personnel records from another agency.)

The records should be sent to the new agency within 5 working days after receipt of the request. If long-term records that should be transferred are not available, wait until those records have been filed before sending the records. Notify the requester and explain the delay.

Transferring folders

Normally, agencies will transfer personnel and medical folders to the next agency. Certain performance records will be transferred in the personnel folder. The personnel folder may be an Official Personnel Folder, Merged Records Personnel Folder, or Foreign Service Folder. Employers who are outside the Office of Personnel Management's recordkeeping authority and do not transfer folders should request a transcript of service rather than a folder.

Transferring Records to Another Agency, Continued

Preparing folders Follow these steps to prepare the personnel and medical folders for transfer.

Step	Action
1	Check the personnel folder to make sure that it contains all the long-term documents that should be in the folder and only the long-term documents authorized in Chapter 3. Make sure that all documents are filed in chronological order.
2	Put the following documents and only those documents on the left side of the personnel folder: <ul style="list-style-type: none"> Ⓒ Record of Leave Data (Standard Form 1150) or equivalent record of leave balances; Ⓒ documentation of indebtedness to the health benefits fund for pay periods that began before September 30, 1996; Ⓒ performance records. For Senior Executive Service employees, these are: annual summary ratings that are 5 years old or less; any appraisals prepared since the most recent annual summary rating; and performance plans for each rating. For all other employees, these are ratings of record that are 4 years old or less, including the performance plan on which the most recent rating was based. Ratings of record include the evaluation of the employee's performance against the elements and standards plus the summary level, pattern, and ending date of the appraisal.
3	Put long-term occupational medical records in an Employee Medical Folder, Standard Form 66-D.
4	Send the folders to the next agency.

Follow agency instructions for documents that are not transferred to the next agency.

Records erroneously left out

When long-term documents that should have been transferred to the next agency are discovered after the folders have been mailed, send them immediately to the next agency. Attach the documents to a cover letter that identifies the employee by name, social security number, and date of birth. Reference the date the folder was originally sent.

Personnel Recordkeeping

Transferring Records to Another Agency, Continued

Requests for transcripts in lieu of folders

Some employers who are outside the Office of Personnel Management's recordkeeping authority should request a transcript of service and other documents rather than personnel and medical folders. These employers are:

- ! Architect of the Capitol
- ! Board of Governors of the Federal Reserve System
- ! Central Intelligence Agency
- ! Congressional Budget Office
- ! District of Columbia Government
- ! Federal Bureau of Investigation
- ! Tennessee Valley Authority
- ! U.S. Botanical Gardens
- ! U.S. House of Representatives.

The U.S. Senate sends transcripts but receives folders when employees move from employment under the Office's recordkeeping authority to the Senate.

Preparing transcripts in lieu of folders

Take the following steps to prepare transcripts in lieu of folders.

Step	Action
1	Prepare the transcript summarizing all personnel actions processed during the employee's Federal career. Use the example in Table 7-A.
2	Copy the benefits documents if requested. Benefits documents cover retirement, health insurance, and life insurance. Send the originals with the transcript. File the copies in the folder.
3	Copy performance records, long-term medical records and a statement of leave balances if requested.
4	Send the transcript and any other requested documents to the next agency.
5	Follow the steps required to send the folders to the National Personnel Records Center.

Transferring Records to the National Personnel Records Center,

Continued

Preparing folders Follow these steps to prepare the personnel and medical folders for transfer.

Step	Action
1	Check the personnel folder to make sure that it contains all the long-term documents that should be in the folder and only the long-term documents authorized in Chapter 3. Make sure that all documents are filed in chronological order.
2	Put the following documents and only these documents on the left side of the personnel folder: C Record of Leave Data (Standard Form 1150) or equivalent record of leave balances; C documentation of indebtedness to the health benefits fund for pay periods that began before September 30, 1996; C performance records. For Senior Executive Service employees, these are: annual summary ratings that are 5 years old or less; any appraisals prepared since the most recent annual summary rating; and performance plans for each rating. For all other employees, these are ratings of record that are 4 years old or less, including the performance plan on which the most recent rating was based. Ratings of record include the evaluation of the employee's performance against the elements and standards plus the summary level, pattern, and ending date of the appraisal.
3	Put long-term occupational medical records in an Employee Medical Folder, Standard Form 66-D. Oversized x-rays that will not fit in the folder may be microfiched and put in an envelope in the folder or retained by the agency. If retained, the agency should put a note in the folder explaining how to obtain the x-ray.
4	Send the folders to the National Personnel Records Center.

Follow agency instructions for documents that are not transferred to the National Personnel Records Center.

Transferring Records to the National Personnel Records Center,Continued

Retirement and death cases

When an employee retires or dies, there are special requirements for processing the separation. The Office of Personnel Management's Operating Manual, [THE CSRS AND FERS HANDBOOK FOR PERSONNEL AND PAYROLL OFFICES](#) contains the processing instructions for these actions. Follow these instructions and send the Official Personnel Folder copy of all required documents with the application for benefits as specified in the Manual.

Records erroneously left out

When long-term documents that should have been in the folder are discovered after the folders have been mailed, send them immediately to the National Personnel Records Center. Attach the documents to a cover letter that specifies whether the records should be part of the personnel or medical folder and identifies the employee by name, social security number, date of birth and date of separation. Reference the date the folder was originally sent. Clearly identify the name and address of the office submitting the records.

Notice to employees

It is good practice to tell separated employees how they can request copies of documents in their personnel and medical folders. A sample notice is on the next page of this *Guide*.

Chapter 8

Index of Documents

Overview

Introduction

This chapter provides two indexes for locating documents in Chapter 3 of this *Guide*. (Chapter 3 provides instructions for filing documents in personnel folders.)

Two indexes are available

Searching for records using different criteria is possible depending on how a form or document is identified. Some forms and documents have form numbers and codes; some do not. To assist you in finding documents in Chapter 3 of this *Guide*, this chapter provides:

- ! **Index of Documents by Form Number** covers those forms listed in Chapter 3 that have an identifying number. The list is in sequence by the kind of form (Optional Form, Standard Form). Within the kind of form, the list is in numeric sequence.

- ! **Index of Documents by Title** covers all documents listed in Chapter 3 whether they have an identifying code or not. The listing is alphabetical by title or descriptor.

In this section

This section includes the following indexes:

Topic	See Page
Index of Documents by Form Number	8-2
Index of Documents by Title	8-4

Index of Documents by Form Number

Civil Service Commission

Form Number	Page
8	3-7
226	3-8
492	3-9
493	3-9
617	3-9
618	3-9
648	3-9
1170	3-8
2800a	3-10
2800b	3-10

Department of Defense

Form Number	Page
214	3-11

Office of Federal Investigations

Form Number	Page
36	3-26

Optional

Form Number	Page
69	3-29
306	3-11
and	3-12
612	3-7

Office of Personnel Management

Form Number	Page
813	3-11
1170/17	3-8
1368	3-29
1468	3-36
1514	3-20
1515	3-20
1528	3-36

Office of Personnel Management

Form Number	Page
1555	3-22
1556	3-22
1560	3-22
1561	3-22
1583	3-12
1635	3-37

Retirement and Insurance

Form Number	Page
RI 20-97	3-20
RI 38-130	3-22

Standard

Form Number	Page
14	3-15
15	3-15
50	3-27
and	3-28
50-A	3-27
and	3-28
52	3-29
and	3-30
57	3-7
58	3-7
59	3-10
60	3-7
61	3-9
61-B	3-11
75	3-34
85	3-25
and	3-26
85-P	3-26
86	3-26
87	3-26
127	3-34
144	3-14

Standard

Form Number	Page
144-A	3-14
171	3-7
171-A	3-7
172	3-7
173	3-7
177	3-35
181	3-36
189	3-33
256	3-35
312	3-33
813	3-11
1126	3-29
1150	3-36
1150-A	3-36
2801-1	3-23
2802	3-23
2803	3-20
2804	3-23
2806	3-23
2809	3-18
2810	3-18
2815	3-23
2816	3-22
3100	3-23
3102	3-21
3107-1	3-23
3108	3-20
3109	3-22
3110	3-22
3111	3-22

Thrift Savings Plan

Form Number	Page
TSP 1	3-24
TSP-967-AO	3-24

Personnel Recordkeeping

Index of Documents by Title

Acknowledgement letter from Selective Service	3-12	Application to Make Voluntary Contributions	3-23
Agency Award Forms	3-17	Application for Refund of Retirement Deductions	3-23
Agency substitute for the Standard Form 144-A	3-14	Appointment Affidavit	3-9
Alcohol Abuse	3-32	Arbitral award	3-33
Amendment to Application for Federal Employment	3-7	Assignment Agreement - Title IV of the Intergovernmental Personnel Act of 1970	3-29
Appeals	3-32	Attachments to:	
Applicant's statement of Selective Service Registration Status	3-12	Applications	3-8
Application for Federal Employment ...	3-7	FERS Designation of Beneficiary ...	3-21
Application Form	3-7	Health Benefits enrollment	3-18
Application for 10-Point Veteran Preference	3-15	Request for Waiver, Extension or Search in Connection with Election of FERS	3-22
Application to Establish Eligibility for Conversion to Career-Conditional	3-9	Election of Coverage for retirement	3-22
Application to Establish Eligibility for Reinstatement to Career-Conditional ...	3-9	Authorization of a Career-Conditional Appointment	3-10
Application to Make Deposit or Redeposit - Civil Service Retirement System	3-20	Authorization of individual action	3-10
Application to Make Service Credit Payment for Civilian Service - Federal Employees Retirement System	3-20	Authorized by specific directive	3-32
		Award justification	3-17
		Awards	3-17
		Birth certificate	3-32
		Briefing documents	3-33

Certificate of Release or Discharge from Active Duty	3-11	Debriefing documents	3-33
Certification of Investigation Notice	3-25	Decisions	3-33
Certification of Scholastic Achievement	3-8	Declaration of Appointee	3-11
Certified Summary of Federal Service	3-23	Declaration for Federal Employment	3-11
Claim for Veteran's Preference	3-15	and	3-12
Classified Information Nondisclosure Agreement	3-33	Demonstration project	3-34
Closed-Discontinued Notice	3-25	Deposits for Military Service	3-20
Closed-Incomplete Notice	3-25	Disability Retirement	3-21
Complaints	3-33	Disclosure from Personnel Folder	3-34
Computer-printed notice of pay increase	3-29	Drug Abuse	3-32
Continuation Sheet for Standard Form 171	3-7	Drug Testing Records	3-34
Coverage determinations	3-20	Election of Retirement Coverage	3-22
Court order	3-33	Election of Federal Employees Retirement System with Credit for Nonappropriated Fund Instrumentality Service under Public Law 104-106	3-21
Data for Non-sensitive or Noncritical Sensitive Positions	3-25	Election of Retroactive Nonappropriated Fund Instrumentality Retirement Coverage by Federal Employees Retirement System Employees under Public Law 104-106	3-21
and	3-26	Employee Leave Record	3-36
Data for Public Trust Positions	3-26	Employee Service Statement	3-23

Personnel Recordkeeping

Estimated Earnings during Military Service	3-20	Job Qualification Statement	3-7
Federal Employees Retirement System Designation of Beneficiary	3-21	Leave records	3-36
Financial records	3-36	License	3-8
Fingerprint Chart	3-26	Life Insurance Forms	3-19
Form or letter authorizing individual action	3-10	List Forms	3-29
Former Spouse's Consent to Federal Employees Retirement System Election	3-22	Managerial Probation	3-37
Garnishment	3-35	Medical Disability	3-35
Grade and Pay Retention	3-27	Medical Records	3-35
Grievance	3-35	Military academy service	3-11
Health Benefits Registration Form . . .	3-18	Military Deposit Worksheet	3-20
Health unit files	3-35	Military Service Deposit Election	3-20
Indebtedness to the Health Benefits Fund	3-19	Minority Group Identifiers	3-36
Individual Retirement Record	3-23	National Guard service	3-11
Investigation Scheduled Notice	3-26	Notice of Approval of Disability Retirement Application	3-21
Investigative Notices	3-25	Notice of Change in Health Benefits . .	3-18
Investigative Report Material	3-26	Notice employee elected coverage under Nonappropriated Fund Retirement Plan	3-21
Job Application	3-7	Notice that Employee Contributions Cannot Be Made Because a Financial Hardship In-Service Withdrawal Has Been Issued	3-24

Notice of right to elect continued retirement coverage while serving in a non-Federal organization	3-21	Proof of Selection for Career (or Career-Conditional) Appointment	3-10
Notice of Short-Term Employment . . .	3-27	Race and National Origin Identification	3-36
and	3-28	Race and National Origin Identification - Hawaii	3-36
Notification of Personnel Action	3-27	Ratings of Record	3-36
and	3-28	Recommendation for Conversion to Career Appointment	3-9
Notification of Earnings for Medicare Eligibility	3-36	Recommendation by Postmaster General	3-10
Optional Application for Federal Employment	3-7	Reconstruction	3-37
Pay Authorization Under the Civil Service Reform Act of 1978	3-29	Record of Leave Data	3-36
Pay schedule	3-29	Reference checks	3-12
Payroll Change Slip	3-29	Request for Approval of Noncompetitive Action	3-10
Payroll records	3-36	Request for Official Personnel Folder (Separated Employee)	3-34
Performance records	3-36	Request for Personnel Action	3-29
Performance Ratings of Record	3-36	and	3-30
Performance Management and Recognition System Termination	3-29	Request for Preliminary Employment Data	3-34
Post Office Conversion	3-10	Request for Waiver, Extension, or Search in Connection with Election of Federal Employees Retirement System	3-22
Pre-employment Inquiries	3-12		
Premium Conversion/Waiver Election	3-19		

Personnel Recordkeeping

Resignation	3-30	Statement of Physical Ability for Light Duty Work	3-35
Resume	3-7	Statement of Prior Federal Service ...	3-14
Retirement Fund Data	3-23	Statement of Prior Federal Service - Worksheet	3-14
Retirement reason	3-30	Statement of Selective Service Registration Status	3-12
Retirement Election for Certain Senior Officials	3-22	Statements of Understanding	3-15
Retirement, Life Insurance, and Health Benefits under the Indian Self- Determination and Educational Assistance Act	3-22	Supervisory Probation	3-37
School Transcripts	3-8	Supplemental Experience and Qualifications Statement	3-7
Security Investigation Data for Sensitive Positions	3-26	Supplemental Qualification Statement/List of College Courses and Certificate of Scholastic Achievement	3-8
Selective Service Registration	3-12	Supplemental Qualifications Statement	3-8
Self-Identification of Medical Disability	3-35	Supporting documentation for: Leave	3-14
Senior Executive Service	3-13	Veterans' preference	3-15
Settlement Agreement	3-33	Tax forms	3-36
Special Background Investigations Additional Data	3-26	Temporary Continuation of Health Benefits Coverage	3-19
Statement from Armed Forces	3-11	Test Material	3-15
Statement of creditable military service	3-14	Thrift Savings Plan Election Form ...	3-24
Statement of creditable volunteer service	3-14	Time and attendance records	3-36

Transcripts:

Health Benefits 3-18
School 3-8
Service 3-31
Thrift Savings Plan 3-24

Verification of a Military Retiree's
Service in Nonwartime Campaigns or
Expeditions 3-11

Verification of prior service 3-14

Welfare to Work Program 3-37

Workers' Compensation 3-35