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For specific questions relating to the M/HR handbook chapters, please visit the M/HR Intranet website or contact M/HR/PPIM.

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CHAPTER 1

OFFICIAL PERSONNEL FILES AND RECORDS

1A. Purpose

This chapter provides the regulations and procedures which govern the establishment, maintenance, and use of office personnel files and records maintained by the Office of Personnel Management (M/PM) and various offices throughout the Agency. All official personnel files and records are maintained in accordance with applicable laws; implementing regulations issued by the U.S. Office of Personnel Management (OPM), the General Services Administration (GSA) or other responsible U.S. Government Agency; and AID-specific procedures. Information concerning the contents of the Office Personnel Folder (OPF) is contained in Supplement 1A to this chapter. Information on the preparation and submission of Residence and Dependency Statements, form AID 490-2, and Arrival and Departure Notices is contained in supplements 1B and 1C respectively. For information concerning the retention and disposition of personnel files and records, the user should consult HB 21, Part III, Records Filing and Disposition Manual.

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1B. Scope

This chapter applies to the official personnel files and records of all AID direct-hire employees. Such files include:

1. The Official Personnel Folder (OPF), which consists of two separate files -- an administrative file and an evaluation file (see Supplement 1A to this chapter); and,
2. Other official personnel files and records, e.g., medical and payroll records, which are maintained by various offices throughout the Agency, e.g., the Office of Financial Management (M/FM), and the Office of the General Counsel (GC) (see section 1G below).

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1C. Authorities

1. Foreign Service Act of 1980 (22 U.S.C. 3901 et seq.)
2. Foreign Assistance Act of 1961, as amended (22 U.S.C. 2151, et seq.)

3. Federal Records Act of 1950, as amended (44 U.S.C. 3101, et seq.)
4. Privacy Act of 1974 (5 U.S.C. 552a)
5. Implementing regulations issued by OPM, GSA or other responsible Agency of the U.S. Government.

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1D. Responsibilities

1. Communications and Records Management Division (M/SER/MO/CRM)

M/SER/MO/CRM is responsible for the AID worldwide records management program, which includes coordinating the development of records management systems and monitoring the implementation thereof to ensure compliance with the Federal Records Act of 1950, as amended, and implementing regulations issued by OPM and GSA, as applicable.

2. Director, Office of Personnel Management (M/PM/OD)

The Director, M/PM/OD, is authorized to exercise custody over, and to provide for the control and maintenance of, the OPFs of all AID employees (see HB 5, Delegations of Authority, delegation number 27.3). The Chief of the Administrative Staff for M/PM (M/PM/ADM), and the heads of AID's overseas units are delegated functional responsibility as described in 1D4 and 1D5 below.

3. Civil Service Personnel Division (M/PM/CS), Foreign Service Personnel Division (M/PM/FSP), Executive Personnel Management Staff (M/PM/EPM)

In conjunction with the Personnel Records Center staff, M/PM/CSP, M/PM/FSP and M/PM/EPM, as appropriate, are responsible for: (a) establishing the OPFs, which are used for personnel and pay purposes, for all AID direct-hire personnel, except as noted in 1D5 below; (b) updating the OPFs for which they are responsible by inserting, in accordance with established procedures, authorized documentation which their respective offices have initiated, or has been forwarded to them; and (c) removing documents which are inappropriately placed in a file or which have prescribed time limitations, e.g., Letters of Reprimand or other disciplinary action upon expiration of the required retention period (see also 1E4 below).

4. Chief, M/PM/ADM

The Chief, M/PM/ADM, is responsible for the operation of the AID Personnel Records Center (PRC), which serves as the official repository for the OPFs of all AID direct-hire employees, except as noted in 1D5 below, during their service with AID. The duties of the PRC staff include, but are not limited to:

- a. Updating OPFs by inserting authorized documentation, which has been forwarded by other AID offices, in accordance with guidelines set forth in Agency regulations or in the Federal Personnel Manual (FPM).

b. Establishing and maintaining a control system for the custody of records and documentation of the "charge out" and return of files by authorized Agency personnel.

c. When employees separate from Federal service, transferring the administrative portion of the OPF to the National Personnel Records Center in St. Louis, Missouri; and transfers the evaluation portion of the OPF to the Washington National Records Center, GSA, Suitland Maryland, in accordance with established procedures.

d. When an employee transfers to another Federal agency, transferring administrative portion of the employee's OPF to the gaining agency in accordance with established procedures.

5. Heads of AID Overseas Units

The heads of overseas units; e.g., AID Representatives, Mission Directors, or their designees, are responsible for the establishment, maintenance and disposition of the OPFs of foreign national employees and American Family Members appointed in their respective countries, in accordance with applicable laws, Federal regulations and AID procedures. The OPFs of Resident Hire personnel are established and maintained in AID/W by M/PM/FSP.

6. Employees

a. Employees are responsible for periodically updating their Application for Federal Employment, SF-171, and submitting it to their Placement Officer in M/PM for inclusion in the OPF. Employees also should forward certificates of training, whether government-sponsored or privately obtained, or other documents relevant to their career in the Federal Government, to their Placement Officer for inclusion, as appropriate, in the their OPF.

b. Employees are strongly encouraged to periodically review their OPF. Such reviews must be scheduled through the employee's Placement Officer in M/PM.

c. Employees are encouraged to establish a personal file which documents their Federal service. The file would include such records as: copies of official personnel actions, approved training requests or certificates of training, copies of travel authorizations and travel vouchers, and periodic evaluation reports. Maintaining such a file will enable employees, during the periodic review of their OPF, to certify that their OPF is accurate and complete. Employees may not maintain their personal files within an office file station.

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1E. OPFs -AID/W Procedures

1. Custody and Security of Personnel Folders

When folders are removed from the Personnel Records Center, they may not be left unattended or exposed to unauthorized persons; they must be filed in alphabetical order and secured in locked steel cabinets when not in use. All personnel folders must be stored in designated security cabinets or returned to the Personnel Records Center by the close of business each day. The contents of folders may not be revealed except as

necessary in the conduct of official business. (See also HB 18, Part III, Ch. 12, Access to and Protection of Records on Individuals -Privacy Act 1974.)

2. Access to Personnel Folders

The following personnel are permitted access to personnel folders and are responsible for the security and condition of the folders charged to them:

a. M/PM Personnel. The Personnel Records Center staff maintains a list of M/PM personnel permitted access to personnel folders. Other M/PM employees are permitted access only in connection with their official duties.

b. Civil Service Merit Promotion Panels, Foreign Service Assignment Boards, Evaluation/Qualification/Technical Panels and Selection Boards. Panel/Board members are permitted access to evaluation files in connection with their official duties.

c. The Office of the Inspector General (IG) Personnel. IG staff is permitted access to personnel files in connection with its official duties.

d. The Office of Equal Opportunity Programs (EOP) Personnel. EOP staff is permitted access to personnel folders in connection with its official duties.

e. Other AID/W Employees. Other AID/W employees may be permitted access to personnel folders only in connection with their official duties. Approval must be obtained from the Placement Officer responsible for the personnel support of the employee whose file is being requested. (See also 1E3 below.)

f. Employees or Their Representative. Employees or their representative(s), designated in writing, are permitted access to the employee's OPF in the presence of the employee's Placement Officer, or designee.

g. Officials Outside AID

(1) An Accounting for Disclosure Record, form AID 490-4, must be completed by all non-AID personnel, except those individuals indicated in (3), (4) and (5) below, upon completion of their review of a personnel file. When files are reviewed in the presence of an M/PM Placement Officer, the completed forms should be forwarded to the Personnel Records Center.

(2) Upon presentation of appropriate identification and justification, representatives or officials of other Federal agencies may review personnel folders on the premises with the approval, and in the presence, of the employee's Placement Officer, or designee.

(3) Investigators, e.g., OPM, IG, or state or local investigative personnel, are permitted access to personnel folders upon presentation of appropriate identification to the Personnel Records Center staff.

(4) Under a formal agreement between AID and the Department of State (or, if applicable, other Foreign Affairs agencies), the personnel folders of their employees may

be mutually exchanged and reviewed in connection with the hiring or detailing of employees. Arrangements are made through the respective personnel offices.

(5) If personnel folders are requested by Court Order, the request is forwarded to AID's Office of the General Counsel (GC) for review and, as appropriate, approval for examination.

3. Procedures for AID/Bureau Office Officials

a. Access to evaluation files by Bureau/Office officials may be permitted: (1) in connection with their official duties, subject to M/PM approval, or (2) when employees are being considered for assignment within the requesting Bureau/Office organization.

b. The following officials may be permitted access to evaluation files:

(1) In Connection with Overseas Assignments: Assistant or Deputy Assistant Administrator; principal or deputy Executive Management (EMS) or Administrative Officer; Desk Officer; principal Bureau/Office technical backstop officer; Head, Deputy, or other principal officer, designated in writing, of an AID overseas unit while in AID/W.

(2) In Connection with AID/W Assignments: Principal EMS or Administrative Officer or supervisor of unit having a relevant vacancy.

(3) Other Than Assignment Actions: Principal EMS or Administrative Officer or Chief of the AID/W office which provides technical backstopping functions.

c. Requests for files by the officials indicated in 1E3b above must be forwarded directly to the appropriate Placement Officer in M/PM when the files will be reviewed on site in M/PM. Requests must be forwarded to the appropriate M/PM Placement Officer through the requestor's EMS/Administrative Officer when the files will be reviewed in the requestor's office. The following information must be provided to the appropriate Placement Officer: (a) position(s) to be filled and the position number(s), if known; (b) location of position(s); (c) certification that the position is a continuing position and whether it is presently vacant or occupied (if the latter, indicate when replacement is required); and (d) a statement of need if the request is not in relation to an assignment. Requests must be received in M/PM one day, and preferably two days, in advance of the date the files are actually required.

d. Generally, when an assignment is involved, M/PM will not release the files of employees who do not qualify for the position specified, or who are not or will not be available for assignment to the position. Based on M/PM's knowledge of the employment situation or Assignment Board actions, M/PM may refer the files of qualified employees to client offices.

e. The following security measures must be adhered to when files are forwarded to and in the custody of Bureaus/Offices (see also 1E1 above):

(1) Files must be picked up from and returned to M/PM by the requesting office, i.e., hand - carried. The files must be placed in a sealed envelope, addressed as follows: "Name, Office Symbol, Room Number; and marked, "PERSONAL INFORMATION -- FOR ADDRESSEE ONLY." Files may never be sent through the mail.

(2) Bureaus/Offices will establish internal procedures for the control of files in their custody and will ensure that files are not accessible to unauthorized personnel.

(3) Files must be returned to M/PM within five workdays after receipt. Extension(s) may be granted by M/PM, but must be requested prior to the expiration of the five-day period.

Failure to return files, or to obtain an extension, within the designated time frame may result in a disciplinary action.

4. Altering Contents of Personnel Folders

a. Only those individuals specifically authorized in this chapter to establish or maintain OPFs may alter, amend, or delete the contents of personnel folders without the prior approval of the Chief, M/PM/ADM.

b. Material in OPFs may be removed or altered in compliance with a grievance decision, a Privacy Act request, an Equal Opportunity decision, an appeal decision, or by settlement of these actions; or by Court Order. Employees may request in writing to the Chief, M/PM/ADM, to alter, amend, or delete contested documents in their folders. The final decision concerning the disposition of contested material is made by the Chief, M/PM/ADM, in conjunction with other Agency officials, as appropriate. In the case of requests made under the Privacy Act, the Agency Privacy Act Officer makes the final decision in consultation with the Office of the General Counsel. Official personnel documents required by law or regulation may not be removed or altered. Errors or omissions are corrected by the issuance of an appropriate corrective action. (See also 1D3.)

5. Disposition of Official Personnel and Evaluation Files

When employees terminate Federal service, the administrative portion of their OPFs are placed in an inactive status for a prescribed period of time. At the same time, the appropriate personnel office removes from the evaluation portion of the OPFs all documents designated by OPM to be "permanent records," and places such records in the administrative files. Documents designated by OPM to be "temporary records" are removed from the administrative files by the Personnel Records Center staff in accordance with applicable regulations. Following the prescribed retention period, the administrative files are transferred to the National Personnel Records Center in St. Louis, Missouri and the evaluation files are sent to the Washington National Records Center in Suitland, Maryland. Evaluation files are destroyed five years after receipt by the Washington National Records Center.

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1F. Official Personnel Folders - Overseas Procedures

1. American Family Members in FSN/AFM Designated Positions

a. OPFs are established and maintained at post in accordance with joint State/ADI/USIA regulations (3 FAM 122.8) and contain both administrative and evaluation material (see Supplement 1A).

b. Not more than two years following an employees departure from post, the post will transfer the OPF directly to the National Personnel Records Center in St. Louis, Missouri. folders must be screened prior to transfer to ensure that service record (permanent) documents which may have been mistakenly filed on the left side of a folder are not destroyed. Instructions concerning the disposition of the OPF are contained in HB 21.

2. Direct-Hire Foreign National Employees

a. General

OPFs for Foreign Service National (FSN) and Third Country National (TCN) employees are established and maintained at the post of appointment in accordance with the guidelines set forth in Agency regulations and in 3 FAM 090. The OPFs contain both administrative and evaluation material.

b. Preparation of Folders

Only Official Personnel Folders, form SF-66, should be used when establishing personnel files. Information concerning the documents maintained in the OPF is included in Supplement 1A to this chapter. The file identification label is prepared as follows: (1) print or type the employee's name (last name, first, middle initial) on the upper left side of the label; (2) print the letters "FNO" directly under the employee's name; (3) enter the employee's date of birth on the upper right side of the label.

c. Disposition of Folders -Foreign National Employees

(1) General

At least once each calendar year, the OPFs of separated employees are transferred to the Department of State, PER/MGT/RMR in accordance with the procedures outlined in HB 21 and 3 FAM 090. Each folder must be screened prior to transfer to ensure that service record (permanent) documents which may have been mistakenly filed on the left side are not destroyed. The date of separation should be entered on the file identification label. A memorandum which provides each employee's name, date of birth and date of separation must be included with the files being transferred. A copy of the memorandum is sent at the same time to M/PM/FSP.

(2) Disposition of Files Upon Transfer

When a foreign national employee transfers to another post, the OPF is sent in a sealed double envelope addressed to the administrative officer at the gaining post and marked "ADDRESSEE ONLY." The employee's leave records for the current and preceding leave year are sent with the OPF. Temporary documents are removed from the OPF prior to transfer to the gaining post.

(3) Preparation and Disposition of Files Upon Separation

(a) The OPFs of separated employees, except as noted below, are placed in an inactive file for one year, at which time they are sent to State/PER/MGT/RMR (See 1F2c(1) above).

(b) If a foreign national employee is retired on disability determined by OPM not to be permanent, retain the file at post until the annuitant reaches age 60 or disability annuity is

discontinued, whichever is earlier, then retire the file to State/PER/MGT/RMR (see 1F2c(1) above) provided three years have elapsed since the employee's retirement.

(c) Folders of deceased foreign national employees should be retained for a period which will allow an employee's relatives sufficient time to contact the post. The period of time allowed for such contact is determined by the post. Following this period, the folders should be transferred in the same manner as described in 1F2c(1) above.

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1G. Other Official Personnel Records

1. Medical Records

The medical records of AID Foreign Service members are maintained by the Department of State, Office of Medical Services (M/MED) and a copy of the medical abstract is filed in the employee's administrative file. Normally, no medical records are maintained in the administrative files of Civil Service employees. However, in some older files, medical information is contained in a sealed envelope inserted on the right side of the file under the permanent records.

2. Leave Accounts and Records

Official attendance and leave records are maintained by the Employee Services Division, Office of Financial Management (M/FM/ESD) in accordance with General Accounting Office regulations and HB 19, Financial Management.

3. Payroll Records

Official payroll records are maintained by M/FM/ESD in accordance with General Accounting Office regulations and HB 19.

4. Executive Personnel Financial Disclosure Report

See also, Interim Update Dataset: Major Functional Series 400, Interim Update #11, 1995 Annual Filing Requirement for SF-278 Report (Rev. 1/91) Covering Calendar Year 1994.

Certain senior level employees must file initial, annual and termination reports on SF-278, Executive Personnel Financial Disclosure Report. For information on who must file and the filing procedures, the user should consult HB 24, Ch. 2, Employee Responsibilities, Conduct and Political Activity. Reports filed by Presidential appointees to positions requiring the advice and consent of the Senate are retained in the Office of Government Ethics, U.S. OPM and a copy is retained in AID's Office of the General Counsel (GC). Reports from all other employees are retained in GC.

5. Statement of Employment and Financial Interests

Certain senior and mid-level employees are required to submit initial and annual/extension supplementary Confidential Statements of Employment and Financial Interests. For information on who must file and the filing procedures, see HB 24, Chapter 2. Reports are retained in GC.

6. Handicap Data

All employees are required to complete form SF-256, Self-Identification of Reportable Handicap, as part of their initial processing into the Agency. The completed form is submitted to the employee's Placement Officer in M/PM. Following input of this data into the Revised Automated Manpower and Personnel System (RAMPS), the form is destroyed. This information is used for statistical purposes only by AID's Office of Equal Opportunity Programs (EOP) in preparing reports required by OPM regulations. Employees who wish to verify or change their code should submit a written request, which includes their Social Security Number, to the Resources Planning Staff, M/PM/RP, AID/W.

7. Race and National Origin Identification Codes

All employees are requested to complete form SF-181, Race and National Origin Identification, as part of their initial processing into the Agency. The form is submitted to EOP through the employee's Placement Officer in M/PM. This information is used for statistical purposes only by EOP in preparing reports required by OPM regulations. Employees who wish to verify or change their code should submit a written request to the Director, EOP, AID/W.

8. Foreign Service Retirement Files

M/PM/FSP maintains retirement files of, and counsels, AID Foreign Service members regarding retirement matters in accordance with HB 30, Chapter 3, Foreign Service Retirement and Disability System.

9. Employee appeal and Grievance Records

The Labor-Management Relations Staff, M/PM/LMR, maintains employee grievance/appeal records in accordance with HB 29, Employee Relations and Benefits, and HB 30, Separations and Disciplinary Actions.

10. Employee Locator Records and Related Services

a. The following information may be released, either in writing or by telephone, without regard to the provisions of the Privacy Act: employee's name, grade, salary, official work address, and present and past job/position titles.

b. The Personnel Records staff, M/PM/ADM, provides information on the current location of AID direct-hire employees and responds to requests for employment verification in accordance with established procedures. When employees are required to obtain written employment and/or salary verification by a private concern, e.g., mortgage company of financial institution, the form provided by the company should be forwarded to the Personnel Records Center.

c. M/PM/CSP maintains the AID/W Emergency Locator Card, form AID 450-1, file for all Civil Service employees and for Foreign Service members stationed in the United States. Members should complete and forward a revised form to M/PM/CSP whenever there is a change in office, home address, or change in the person (or address of the person) to be contacted in an emergency in accordance with the procedures outlined in HB 29, Ch. 2, Special Assistance to Employees/Beneficiaries.

c. M/PM/FSP maintains the Foreign Service Emergency Locator Information, form OF 190, file for all Foreign Service employees stationed outside the United States. Employees should complete and forward a revised form in accordance with the procedures outlined in HB 29, Ch. 2.

11. Records of Performance Rating Boards of Review

M/PM/LMR maintains the records of performance appraisal appeals of Civil Service employees heard by a Board of Review or the Agency's grievance procedures, and determines whether such records are complete.

12. Civil Service Merit Promotion Records

M/PM/CSP maintains for a minimum of two years, a temporary record of each position processed under competitive procedures.

13. Reduction-in-Force (RIF) Records

M/PM/CSP maintains retention records and registers, and employment priorities of Civil Service employees according to the provisions of HB 30. RIF records for Foreign Service members are established by M/PM/FSP in accordance with HB 30 as the need arises.

14. Official Records Maintained on Career Development and Evaluation

The records listed below are maintained by the Career Development and Evaluation Branch of M/PM's Foreign Service Personnel Division. Inquiries concerning these records should be addressed to the Chief, M/PM/FSP/CDE.

a. Selection Boards (formerly Evaluation or Promotion Panels).

The official files of the Foreign Service Selection Boards are maintained in accordance with HB 21. These files include, but are not limited to, reports to the Director, M/PM, from each Board (Panel); lists of members recommended for promotion; alphabetical lists of members whose performance is "satisfactory or better;" and lists of members: (1) low ranked, (2) referred to a Performance Standards Board, (3) recommended for Meritorious Step Increases, or (4) recommended for career counseling.

b. Performance Standards Boards (PSBs).

The official files of the Performance Standards Boards (PSBs) have been maintained since 1982, when PSBs were established in conformance with the Foreign Service Act of 1980. These files include, but are not limited to, reports from each Board to the Director, M/PM, and lists of members: (1) selected by random sample to establish standards of performance for a class, (2) determine to meet the performance standards of the class, (3) determined not to meet the performance standards of the class, and (4) recommended for mandatory retirement based on relative performance.

c. Tenure Boards.

The official files of the Tenure Boards include, but are not limited to, reports from the Board to the Director, M/PM, and lists of members: (1) recommended for tenure, (2) recommended for deferred tenure, and (3) recommended for termination. The files of the Senior Tenure Board (for tenuring of career candidates above the FS-01 level) are maintained in M/PM/EPM.

d. International Development Intern (IDI) Review Panels.

The official IDI Review Panel files include, but are not limited to, lists of IDIs: (1) eligible for promotion, and (4) recommended for termination.

e. Selection Board Report

Selection Board Reports, form AID 4-153, are prepared by the Selection Board in accordance with HB 25, Ch. 10, Performance Evaluation and Rating Program -Foreign Service Personnel. The original is sent to the employee concerned and a duplicate maintained by M/PM/FSP/CDE for record purposes only. No other distribution of this form is made.

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CONTENTS OF THE OFFICIAL PERSONNEL FOLDER

The Official Personnel Folder (OPF) is the official repository of the records and reports of personnel actions effected during an employee's Federal service and the documents and papers required in connection with these actions. The OPF consists of two separate files --an administrative file and an evaluation file. During the period of an employee's service, permanent records with affect the employee's status and service are filed on the right side of the administrative file; temporary records are filed on the left side; and performance-related materials are maintained in an evaluation file. The contents of the administrative and evaluation files of Civil Service and Foreign Service employees of AID are described in Part I and Part II of this supplement respectively. The contents of the Official Personnel Folders of American Family Member and Foreign Service and Third Country National employees of AID are described in Part III of this supplement.

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Part I. Contents of the Administrative File -Civil Service and Foreign Service Employees

The following is a partial list of the documents which are maintained in the administrative file, and a list of documents which may never be filed in the Official Personnel folder. A complete list of documents is contained in the Federal Personnel Manual, Supplement 293-31.

AID 6-85, Foreign Residence Data

AID-189, Classified Information Nondisclosure Agreement

AID 4-312, Overseas Return Certificate (FS employees)

AID 490-2, Residence and Dependence Statement (FS employees)

OPM Form 813, Request for Verification of Military Service or other documents showing dates of military service

CSC-1267A, Supplemental Federal Application Statement

Pre-Appointment Certification Statement for Selective Service Registration

SF-15, Application for 10-point Veteran Preference (or equivalent)
SF-50 (or equivalent), Notification of Personnel Action
SF-52 (or equivalent), Request for Personnel Action, when used as an appointment document in lieu of an SF-50
SF-61, Appointment Affidavits
SF-61-B, Declaration of Appointee
SF-84, Data for Nonsensitive or Noncritical-Sensitive Position
SF-86, Security Investigation Data for Sensitive Position
SF 144, Statement of Prior Federal Service
SF-171 (or equivalent), Application for Federal Employment (formerly called the Personal Qualifications Statement)
SF-182 (or equivalent), Application for Training
SF-1152, Designation of Beneficiary--Unpaid Compensation of Deceased Civilian Employee
SF-2809, Health Benefits Registration Form
SF-2810, Notice of Change in Health Benefits Enrollment
SF-2817, Life Insurance Election
SF-2823, Designation of Beneficiary -FEGLI Program
JF-33, Designation of Beneficiary -Foreign Service Retirement and Disability System
Certification of Approval of Employment by School authorities
Condition of Employment Letter or statement signed by appropriate authority showing proof of satisfactory Peace Corps/ACTION service
Medical Abstract (FS employee) Memorandum -Review of Agency Occupational Specialty Codes (AOSC) Employment Certificate -Consultants and Experts Statements of Duties and Responsibilities of expert and consultant positions which were prepared to show that the job actually requires the services of an expert or consultant
Travel Agreement (Civil Service Employees)

Records Which May Never be Placed in the OPF

Pre-employment inquiries, including telephone inquiries
Investigative records or reports except the SF-85 and 86, and notices of security clearance
Fingerprint Cards
Letters of indebtedness
Grievance files
Appeal files CA-1 and CA 1 and 2 (if claim filed with Department of Labor)
Letters of reference or recommendation
Complaint correspondence from a member of the public
Records or correspondence regarding an employee's claim for compensation from the Office of Worker's Compensation Program for a job-related disease or injury
Report of Probationary Performance
Appraisals of Potential Medical dispensary or health unit records
Testing and examining material (answer keys, test booklets)
Retirement data (SF-2802, correspondence dealing with repayment into Civil Service Retirement system or refund of retirement deduction)
SF-181, Race and National Origin Identification, or other identification of an employee's race or ethnicity
SF-256, Self-Identification of Reportable Handicap

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Part II. Contents of the Evaluation File -Civil Service and Foreign Service Employees

* Part II. Contents of the Evaluation File --Civil Service and Foreign Service Employees

On 06/29/2000 (ADS CD 20), two items (Critical Letters & Disciplinary Decision Letters) were added to the lists of documents in employee files and one item

(Letters of Reprimand) was deleted from list of documents to make the lists consistent with ADS 463. This entire handbook will be revised in the future.

* An evaluation file is established for each employee as part of the employee's Official Personnel Folder. Within AID, evaluation files are referred to as "Employee Performance Files" (EPFs) for Civil Service employees and as "Performance Evaluation Files" (PEFs) for Foreign Service members. The documents listed below are maintained in evaluation files. Some of the records in an evaluation file are permanent records and, upon an employee's separation from Federal Service, will be removed from the evaluation file and placed in the employee's administrative file (see Part I of this supplement). Temporary records maintained in the evaluation file are retained for a prescribed period of time and then are destroyed. For information concerning the retention and disposition of records, the user should consult **ADS 502**.

Contents of the Employee Performance File -Civil Service Employees Left Side of Folder
Right Side of Folder Application for Federal Employment, SF-171 Performance appraisal
and Merit Pay Forms, AID 410-11 Employee biodata Report (from RAMPS)

Performance Evaluation File Check Sheet

Training Applications

Training Reports

Awards

Official Letters of Commendation

Letters of Reprimand

* **Critical Letters**

Record of Security Violation

Contents of the Performance Evaluation File -Foreign Service Members

Position Document

1 Completion of Assignment Reports (form AID 4-253)

Application for Federal Employment (SF-171) (formerly called Personal Qualifications Statement)

2 Employee Biodata Report (from RAMPS)

3 Performance Evaluation File Check Sheet

4 Employee Evaluation Reports

5 Training Applications Training Reports

6 Awards Official Letters of Commendation

* **Disciplinary Decision Letters**

* **Critical Letters** Record of Security Violation

CDT: 1975/04/15
EDT: 1985/06/28

Part III. Contents of the Official Personnel Folder --American Family Members and Foreign National Employees

The Official Personnel Folder (OPF) contains all the records documenting the service and status of American Family Member and Foreign National employees of AID, i.e., both administrative and evaluation materials. The OPFs of American Family Members may contain any of the documents listed in Parts I and II of this supplement in addition to those shown below. The records listed below are maintained for Foreign Service National (FSN) and Third Country National (TCN) employees, in accordance with 3 FAM 090 and Agency regulations.

Permanent Records

The documents listed below affect an employee's status and service and are filed on the right (permanent) side of the OPF in chronological order, normally by effective date, with the latest date on top.

SF-50B, Notification of Personnel Action; SF-61, Appointment Affidavits; SF-144, Statement of Prior Federal Service; SF-202, Leave Record, final leave record card showing accumulated leave at the time of separation; SF-1152, Designation of Beneficiary--Unpaid Compensation of Deceased Civilian Employee; SF-2801, Application for Retirement; SF-2802, Application for Refund of Retirement Deductions; SF-2806, Individual Retirement Record;

Application for employment; Contract of employment, if applicable; Notice of security clearance; Records of skills tests required for employment; Forms required for enrollment in post insurance or other benefit programs; Report of physical examination (any medical information of a confidential nature should be placed in an envelope beneath the papers on the right side of the folder); Record of Training forms; Copies of travel orders; Performance evaluation reports; Payroll change slips; Evidence of Awards; Official letters of commendation evidencing performance of official duties clearly above the quality normally expected; Record of Violation and related correspondence; Clearance for final salary payment, if required; CA-1 and CA-2, Reports of on-the-job injury and treatment; Bond information; name of bonding company, amount of bond, date next premium due, and date last premium paid. Temporary Records

Documents which are not specified for filing on the right side of the OPF are considered temporary records and are filed on the left side of the folder. The documents listed below are considered temporary records. Form SF-52, Request for Personnel Action, except when used as the appointment or resignation document; Letters of reference; Letters of warning or reprimand and similar disciplinary action papers, and letter; Correspondence that has temporary administrative usefulness; e.g., applications for passes, licenses, or official recognition of assignments.

CDT: 1975/04/15
EDT: 1989/02/14

SUPPLEMENT 1B

FOREIGN SERVICE RESIDENCE AND DEPENDENCY REPORT

1. Purpose

The Foreign Service Residence and Dependency Report, Department of State Optional Form 126 (Exhibit 1B-1), is used as a:

- a. basis for determining an employee's point of travel at the time of appointment, home leave and separation;
- b. record of an employee's legal residence which is required on nominations for commissioning into the Senior Foreign Service, for commissions below FS-1, and on applications for diplomatic titles;
- c. record of an employee's dependent(s) whose eligibility for travel and other benefits has been established.

2. Applicability

- a. A Foreign Service Residence and Dependency Report must be submitted at the time of appointment and a residence changes occur concerning AID U.S. citizen Foreign Service employees and by employees involved in AID

Participating Agency Services Agreements (PASAs).

3. Definitions

- a. Home Leave Residence. The location in the United States, its possessions or the Commonwealth of Puerto Rico, where an employee anticipates spending home leave.
- b. Separation Residence. The location to which travel and shipment of household and personal effects will be authorized upon separation from the Agency, or the location where remains will be shipped if death occurs while abroad or while in travel status. When an employee elects to reside outside the United States, its possessions or the Commonwealth of Puerto Rico, travel will be graded on a constructive cost basis in accordance with the regulations outlined in HB 22, Travel and Transportation.

c. Legal Residence. The city and state which are claimed for federal tax and other purposes as the employee's legal residence. This residence should be stated in item #4 on the Report.

d. Family Members. Includes the relatives listed below who reside, or normally would reside, with the employee at post. Family members who receive benefits or allowances from the government similar to those granted the employee are excluded, e.g., spouse employed by AID or an other federal.

(1) Spouse.

(2) Children who are single and under 21 years of age or, regardless of age, are incapable of self-support. In addition to natural offspring, the term includes stepchildren, adopted children and those under legal guardianship of the employee or spouse when such children are expected to be under such legal guardianship at least until they reach the age of 21 and when dependent upon and normally residing with the guardian.

(3) Parents (including stepparents and legally adoptive parents), of the employee or the spouse, when such parents are at least 51 percent dependent upon the employee for support.

(4) Sisters and brothers (including stepsisters, stepbrothers or adoptive sisters and brothers) of the employee or the spouse, when such sisters or brothers are at least 51 percent dependent upon the employee for support, unmarried and under the age of 21 or, regardless of age, are incapable of self-support.

e. Tandem Couple. A married couple, one of whom is a employee of AID and the other an employee of AID or any other U.S. foreign affairs agency. A dependent of a tandem couple may be listed on either form, but not both. All dependents of a tandem couple need not be listed on the same form.

4. Policy

a. Both members of a working couple (also called tandem couple) must submit a Foreign Service Residence and Dependency Report.

b. Employees must provide proof of dependency at the time of appointment for all family members (other than spouse or natural born children) and whenever changes in family status occur, e.g. divorce, (re)marriage, birth of child(ren), death or adoption. In order for those persons listed as dependents on the Report to receive travel and other benefits at Government expense, proof of dependency must be established.

c. Revisions to the Report may be established or confirmed by submitting a copy of the marriage license, birth certificate of child(ren), court or legal documents, or xeroxed portion of the most recent federal tax return. Such documentation will be retained in the employee's Official Personnel File.

d. Approval for any changes in designation of residence shall be granted on the basis of a full justification by the employee. The justification must be based on specific reason(s), e.g., the purchase of new property, family interests, health problems or other compelling circumstances. Reasons should be indicated in item #6 of the Report. Approval must be granted prior to the initiation of travel or shipment of household and/or personal effects.

5. Responsibilities:

a. Employees. Each employee (refer to statement 2a above) shall execute in triplicate a Foreign Service Residence and Dependency Report (OF-126) at the time of appointment and as changes occur thereafter, including changes in U.S. legal residence. Completed forms should be submitted: (1) in AID/W to the Executive Personnel Management Staff (PFM/PM/EPM), Foreign Service Personnel Division (PFM/PM/FSP), or IG/ADM, as appropriate; and (2) when overseas, to the Mission Director or designee. PASA employees should submit completed forms: (1) in the U.S. to their Administrative Officer in their parent agency, and (2) overseas through the Mission Director or designee to their parent agency for approval.

b. Mission Director or Designee. The Mission Director or designee approves or disapproves changes in residence or dependency for employees overseas. The original and one copy are sent to PFM/PM/EPM or PFM/PM/FSP. If disapproved, reason(s) should be included in item #7 on the Report.

c. PFM/PM/EPM and PFM/PM/FSP. Ensures that a Foreign Service Residence and Dependency Report has been executed and approved prior to a Foreign Service employee's appointment. As requested, approves or disapproves requests for changes in dependency or residence. If approved, places original copy of form (along with any proofs of dependency) in the member's OPF, forwards one copy to the Mission (if appropriate) and one copy to the State Department Medical Unit. If disapproved, provides reason(s) in item #7 on the Report and returns form to the employee.

Upon receipt of a Mission approved form, places original in the employee's OPF. Finally, provides guidance to Missions concerning the approval or disapproval of requests for change in residence or dependency.

Exhibit 1B: Foreign service Residence and Dependency Report

CDT: 975/04/15
EDT: 1988/12/16

SUPPLEMENT 1C

ARRIVAL AND DEPARTURE NOTICES

(Submission Requirements and Preparation Instructions)

A. Submission Requirements and Format

1. Arrival and Departure Notices must be submitted when the following employees or their dependents travel, whether or not travel is at Government expense:

- a. U.S. Foreign Service (FS) employees of AID,
- b. Participating Agency Employees (PASAs),
- c. Other Agency employees on detail to overseas posts,
- d. AID/W personnel on detail to an overseas post,
- e. Temporary duty for AID FS employees between Missions for 60 days,
- f. Consultants and experts,
- g. Dependents of an employee when traveling to/from the employee's overseas post of assignment,

2. Arrival and Departure Notices need not be submitted for the following categories of employees and circumstances:

- a. Resident-Hire personnel, except when traveling on official orders issued in their names,
- b. Contract employees and their dependents,
- c. Local and Third-country Foreign Service Nationals, or
- d. In-Country travel.
- e. Rest and Recuperation travel, or,
- f. Family Visitation travel.

3. The Arrival Notice is prepared immediately upon arrival of travelers at the post. If an Arrival Notice is not received within ten days after the expected date of arrival, PFM/PM/FSP, PFM/PM/EPM or IG/ADM, as appropriate, will follow-up with a cable of inquiry.

4. Insofar as possible, the Departure Notices should be prepared and forwarded to AID/W thirty (30) days prior to the departure of travelers.

5. Arrival and Departure Notices should be prepared on cable format as indicated in the attached sample notices.

6. When an employee is departing for home leave, an "Overseas Return Certificate" (form AID 4-312) must be forwarded to the appropriate office in Washington.

7. Incentive Language Payments, if applicable, are stopped at the end of the pay period in which actual departure occurs. This includes, but is not limited to, Home Leave, Direct Transfer, R&R, Midtour Transfer and Separation. For a detailed explanation, consult HB 28, Ch. 4.

8. Arrival Notices are not to be used for requesting a shortened tour. For guidance in requesting a shortened tour, refer to HB 25, Ch. 36.

CDT: 1975/04/15

EDT: 1988/12/16

B. Instructions for Preparation of Cables:

1. Follow the formats shown in the sample notices with regard to item numbers and corresponding information. Refer to the sample completed Arrival Notice and Departure Notice.

2. If an item is not applicable to the employee or dependent(s) being reported, insert "N/A" following the item number.

3. All Arrival and Departure messages must be marked "PERSONAL INFORMATION."

CDT: 1975/04/15

EDT: 1988/12/16

ARRIVAL NOTICES

ITEMS CONTENT

SUBJECT Type ARRIVAL NOTICE and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent Of" in front of the employee's name.

REFERENCE If "REFERENCE" is for a correction to a previous notice, state cable number and date.

ITEM 1 CATEGORY OF EMPLOYEE:

a. AID Foreign Service

b. Expert or Consultant

- c. Participating Agency (name of agency)
- d. Detail from other Agency (name of agency)
- e. Civil Service (AID/W employee)

ITEM 2 DATE FIRST ARRIVED AT PRESENT POST

ITEM 3 DATE AND PLACE FROM WHICH TRAVEL BEGAN

ITEM 4 DATE ARRIVED OVERSEAS ON CURRENT TOUR OR TDY ASSIGNMENT

ITEM 5 HOME LEAVE ELIGIBILITY DATE

Home Leave Eligibility Date (HLED) is 18 months after date first arrived overseas on current tour or detail assignment; tour of duty is normally 24 months. Leave taken in the U.S. extends HLED but not the tour of duty. Such leave is reported by cable only when receipt of authorized home leave travel orders will cause the employee to be in violation of 18 months continuous service abroad statutory requirement. (Refer to HB 27, Ch. 5 for methods of computing continuous service abroad.)

ITEM 6 END OF TOUR DATE

ITEM 7 TRAVEL AUTHORIZATION NUMBER AND DATE

ITEM 8 PURPOSE OF TRAVEL:

- a. Initial Assignment
- b. Detailed from (specify post)
- c. Midtour Transfer (specify post)
- d. Direct Transfer from (specify post)
- e. Home Leave and Transfer from (specify post)
- f. Return from Home Leave
- g. Return from Consultation, AID/W
- h. Return from Travel at Personal Expense
- i. Return from Detail at (specify where)
- j. Other (specify)

ITEM 9 PERSONS TRAVELLING:

- a. Employee Only
- b. Dependent(s) Only
- c. Employee and Dependents

ITEM 10 DEPENDENT INFORMATION:

- a. Dependents Arriving Post This Trip:

Names of dependents, relationship, and ages of children. For the purpose of this notice, include as a dependent any person who arrived in the country of assignment as a result of the employee's assignment (regardless of whether or not travel was paid at Government expense). Dependents must be listed on Form 490-2.

- b. Total Number Of Dependents At Post:

ITEM 11 MISSION DEPARTURE DATE (may or may not differ from End Of Tour (EOT) date which is normally 24 months from APP date)

ITEM 12 FURTHER EXPLANATIONS -Item 12 should be used for any additional comments regarding the Arrival Notice. (e.g. -language incentive payments; For a detailed explanation of these payments, see HB 28, Ch. 4)

** END OF SECTION **

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SAMPLE OF ARRIVAL NOTICE CABLE

SUBJECT: ARRIVAL NOTICE -John Roe; BS-02; 277304598 SSN: 561-39-4578

REFERENCE:

PERSONAL INFORMATION:

- 1.a. Category of Personnel: AID Foreign Service Employee
2. Date First Arrived at Present Post: 07/11/87
3. Date and Place From Which Travel Began: Left Washington, D.C. on 02/03/88
4. Date Arrived Overseas on Current Tour: 02/05/88
5. Home Leave Eligibility Date: 08/04/89

- 6. End of Tour Date: 02/04/90
- 7. TA # and Date: TA #: 279-88-020, dated 11/29/87
- 8.f. Purpose Of Travel: Return from Home Leave
- 9.a. Persons Travelling: Employee Only
- 10. Dependent Information: N/A
- 11. Mission Departure Date: 02/04/90
- 12. Further Explanations: N/A

CDT: 1975/04/15
EDT: 1988/12/16

DEPARTURE NOTICES

ITEMS CONTENT

SUBJECT Type DEPARTURE NOTICE and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent(s) of" in front of employee's name.

REFERENCE If "REFERENCE" is for a correction to a previous notices, state cable number and date.

ITEM 1 CATEGORY OF EMPLOYEE:

- a. AID Foreign Service
- b. Expert or Consultant
- c. Participating Agency (name of agency)
- d. Detail from Agency (name of agency) ITEM 2 DEPARTURE DATE: ITEM 3 ESTIMATED TIME OF ARRIVAL (ETA) AT:
 - a. Overseas Post
 - b. U.S. Destination
 - c. AID/W (for consultation or other purpose; state number of days approved and cite message of approval)

ITEM 4 TRAVEL AUTHORIZATION NUMBER AND DATE

ITEM 5 PURPOSE OF TRAVEL:

- a. Home Leave and Return to Post
- b. Home Leave and Transfer to (specify post)
- c. Midtour Transfer (specify post)
- d. Direct Transfer to (specify post)
- e. Separation
- f. Detail to (specify post)
- g. TDY, AID/W
- h. Travel at Personal Expense (explain in Item 16)
- i. Other (specify) ITEM 6 PERSONS TRAVELLING:

a. Employee Only

b. Dependents Only

c. Employee and Dependents ITEM 7 DEPENDENT INFORMATION:

a. Dependents Departing Post This Trip -

Names of dependents, relationships, and ages of children. For the purpose of this notice, include as a dependent any person traveling who is present at post because of employee's assignment there, whether or not dependent traveled at Government expense. Dependents must be listed on Form 490-2.

b. Total Number of Dependents Who Remain At Post

ITEM 8 LEAVE OR STOPOVERS EN ROUTE

Explain as in Item 3 (this item is not applicable for personal expense trip)

ITEM 9 AUTHORIZED AID/W CONSULTATION -NUMBER OF APPROVED DAYS AND CITE APPROVAL MESSAGE

ITEM 10 EMPLOYEE'S LEAVE RECORD:

a. Accumulated leave ceiling: _____ hours as of _____

b. Annual Leave: _____ hours as of _____ date

c. Sick Leave: _____ hours as of _____ date

d. Home Leave: _____ hours as of _____ date

e. Annual leave approved for use while away from post:

1. En route to U.S.: _____ hours

2. While in U.S.: _____ hours

3. En route to post: _____ hours

f. Home leave approved: _____ workdays

date

ITEM 11 ADDRESS(ES) AND TELEPHONE(S) WHERE EMPLOYEE MAY BE REACHED WHILE ON LEAVE IN U.S.

ITEM 12 ESTIMATED TIME OF ARRIVAL AT POST ON RETURN TRIP

ITEM 13 DATE SIGNED "OVERSEAS RETURN CERTIFICATE" WILL BE SENT. In all cases of home leave, transfer to an overseas post, or home leave and return to post, employee must sign this certificate (Form AID 4-312, Att. 1B-1).

ITEM 14 INDICATE DATE AND PLACE OF PHYSICAL EXAMINATION(S)

ITEM 15 DISPOSITION OF EMPLOYEE'S EFFECTS:

a. Left in Quarters

b. Loose Packed and Held

c. Packed, Segregated and Held

d. Shipped (if shipped, give budget allowance/appropriation symbol)

ITEM 16 FURTHER EXPLANATIONS -Item 16 should be used for any additional comments regarding the Departure Notice. (e.g. -terminate language incentive payments; see HB 28, Ch.4)

NOTE: Language Incentive Payments are terminated at the end of the pay period in which actual departure occurs. Please refer to HB 28, Ch. 4. for more information on Language Incentive Payments.

CDT: 1975/04/15
EDT: 1988/12/16

SAMPLE OF DEPARTURE NOTICE CABLE

PERSONAL INFORMATION

SUBJECT: Departure Notice -John Doe; BS-10; 987640970 SSN: 891-33-8742

REFERENCE:

- 1.a. Category of Personnel: AID Foreign Service
2. Departure Date: 09/15/88 3.b. Estimated Time of Arrival: ETA U.S.: 09/17/88
 - c. AID/W: 10/07/88
4. TA # and Date: TA #: 7671-84-AID, 08/29/88
- 5.a. Purpose of Travel: Home Leave and Return to Post
- 6.a. Persons Travelling: Employee Only
7. Dependent Information: None
8. Leave or Stopover En Route: None
9. Authorized AID/W Consultation: Five days consultation on AID/W authorized per State 151688
10. Employee Leave Record:
 - a. Leave Ceiling: 360 hours as of 06/18/88
 - b. Annual Leave: 331 hours as of 06/18/88
 - c. Sick Leave: 1738 hours as of 06/18/88
 - d. Home Leave: 99 days as of 06/18/88
 - e. Annual Leave Approved:
 1. En route to U.S.: 0 hours
 2. While in U.S.: 0 hours

3. En route to post: 16 hours

f. Home Leave Approved: 41 workdays

11. Address Where Employee Can Be Reached: Mailing Address in the U.S.: 997 Skyhill Rd. #43; Alexandria, Va. 20036; 703-555-1212

12. ETA at Post on Return Trip: 12/07/88

13. Date Signed "Overseas Return Certificate" forwarded: 08/29/88

14. Date and Place Physical Exams Taken: Employee's physical examination was taken at post and results forwarded to M/MED on 07/06/88

15. Disposition of Effects: a. left in quarters

16. Further Explanations: Stop language incentive payments