



STATE OF MARYLAND
MILITARY DEPARTMENT
FIFTH REGIMENT ARMORY
BALTIMORE, MARYLAND 21201-2288

MDNG-AG-HRO (690-400)

22 May 2001

HRO POLICY/GUIDANCE LETTER #10

SUBJECT: Purpose and Guide for the Supervisor's Work Folder and Contents

MEMORANDUM FOR SEE DISTRIBUTION

1. References:

- a. NGB Technician Personnel Regulation 293-31, 31 August 1988.
- b. National Guard Bureau Supervisor's Handbook, 1 September 1989.

2. Purpose: Good records and files are an essential element of technician personnel management. A supervisor's work folder will provide a system for keeping information about those you supervise. These folders help you manage technician personnel by providing:

- a. An up-to-date record of all personnel actions, training, performance ratings, service history, awards, conduct, disciplinary actions, and discussions relevant to a technician's employment.
- b. Information for requesting personnel actions affecting technicians.
- c. An emergency reference or locator file.

3. References listed in paragraph 1 require supervisors to maintain a Work Folder for each Maryland National Guard (Excepted/Competitive) technician under their supervision. (This system may be used for AGR soldiers at the discretion of the activity director or supervisor). A standard manila folder or a folder suitable for maintaining documents for this record system should be used. NGB guidance also stipulates that under no circumstances should Standard Form 66 (Official Personnel Folder) be used to administer this system.

This Policy/Guidance Letter supersedes HRO Policy/Guidance Letter #10 dated 27 April 1999

4. The Supervisor's Work Folder is part of the Employee Performance File (EPF) System. Within this folder are documents that should contribute to enhancing effective supervision and management. Work Folders will be maintained in a location secure enough (preferably locked in a file cabinet or supervisor desk) to protect the confidentiality of the records and preserve the privacy of the individual(s) concerned. The information contained in the EPF System is of a personal nature, access to the Work Folder will be limited to management officials, the technician concerned, and individuals to whom the technician has given written permission. If you should receive a written request for information concerning one of your technicians, under the Freedom of Information Act, you must protect and not release the following:

- ❖ Education Level
- ❖ Date of Birth
- ❖ Home Phone Number
- ❖ Home Address
- ❖ Social Security Account Number (SSAN), you may, however, release:
 - ❖ The Technician's Name
 - ❖ Past and Present Position, Title, Series, Pay Plan, Pay Grade
 - ❖ Salary
 - ❖ Duty Station (office symbol)

Administrative personnel will not be delegated the responsibility for filing and maintaining the folder. The folder will be identified by typing or printing "Supervisor Work Folder" on the outside face or tab of the folder and will also indicate the employee's full name.

5. NGB Form 904-1 (Supervisor's Record of Technician Employment) – Optional. NGB Form 904-1 is no longer the sole form used to document a technician's employment history. The following may be used:

- a. A Report on Individual (RIP) – Supervisor Employee Brief generated by the HRO that may be requested at any time. However, this form is automatically produced when there is a New Appointment, Promotion, Reassignment, or Conversion.
- b. Supervisors may create an automated version of NGB Form 904-1 if it is determined it best meet your need.

6. The following documents are either permanently or temporarily filed in the Supervisors Work Folder. An asterisk denotes permanently filed documents.

- a. * NGB Form 904-1, HRO RIP, or computer created form.
- b. * Performance Related Documents (HRO Form 430/HRO Form 430-1). These records include information needed to keep track of performance, documents concerning

reconsideration or appeal of performance related issues, Performance Improvement Plans (PIPs), and memorandums or notations of performance counseling. Retain only the last three (3) calendar year performance appraisals/standards.

c. **Conduct Related Documents.** These records may be filed until they are no longer relevant to a problem/issue. Letters of Reprimand containing a specific disposition date may be filed until expired. Do not keep copies of adverse action records once the action is complete because the official file is maintained in the HRO.

d. **Annual Leave Schedule.** These are maintained to ensure timely use of annual leave.

e. **Standard Form 52 (Request for Personnel Action).** May be retained until personnel actions are approved and made final by the receipt of Standard Form 50 (Notification of Personnel Action). Once the personnel action is official, annotate the information to your technician's record. Give the original SF 50 to the technician affected.

f. **Training Related Documents.** Correspondence related to training may only be retained until the training is complete. However, Training Plans or Individual Development Plans (IDPs) may be retained until no longer relevant. (Annotate training and give form to the technician affected).

g. ***Position Description.** This should be a certified copy of the technician's current position description. Copies of licenses, professional accreditation, or certificate documenting proficiency may be filed along with position descriptions.

h. **Supporting Documents for an Award.** NGB Form 32 or HRO Form 430-1, justification for awards or any other documents needed to support an award may be filed until the action is complete. Once approved, annotate the technician's record.

i. **AF Form 55 (Employee Safety and Health Record).** May be maintained by ANG Supervisors in accordance with AFI 91-301.

7. The following documents, although pertinent to a technicians employment history, may not be filed in the Supervisor's Work Folder.

a. **Standard Form 50 (Notification of Personnel Action).** The HRO will forward this form via transmittal to the Installation Director or Unit Commander who will forward to the appropriate supervisor for annotation to the technicians record. **DO NOT RETAIN IN THE SUPERVISORS WORK FOLDER.**

b. **Standard Form 50/Mass Change List.** Same rule applies as in 7a.

c. **Security Investigative Records or Reports.**

d. **Copy of Reduction-In-Force (RIF) Notices.** You may annotate the action and give the reference notice and SF 50 to the affected technician.

e. **Pre-employment Vouchers or Telephone Inquiry Notations.**

f. **Letter of Indebtedness.** They have no bearing on a technician's ability to perform his or her duties.

g. **Medical Records.** These include the Office Workmen's Compensation records, forms, etc. Records or forms of this type should be maintained in the technicians Medical Record or file.

h. **Standard Form 181 (Race and National Origin Identification), or Standard Form 256 (Self-Identification of Medical Disability).**

i. **Photographs.**

j. **Training Certificates.**

k. **Resume'.**

l. **Personal Notes.** (except as outlined in paragraph 8b).

8. **Personal Notes.**

a. Personal notes are not considered part of the EPF, for the following reasons:

- ❖ Not an official agency record nor under agency control.
- ❖ Retained solely for the personal use of the supervisor as a memory jogger.
- ❖ Not to be circulated to anyone else including other supervisors, the supervisor's secretary, or clerical support personnel.

b. Once you have shared your personal notes with anyone, you can no longer claim they are solely for your personal use. They must be made part of the formal record and annotated to the technicians record that they exist or the notes must be destroyed. If they are destroyed they are not to be referred to in relation to subsequent actions.

9. **Maintenance of the Supervisor Employee Record Brief (SERB).** Annotate promotions, reassignments, pay adjustments, training, awards, performance appraisals, etc. This form is generated by the HROs Defense Civilian-Personnel Data System. It is produced when there is a New Appointment, Promotion, Reassignment, or Conversion.

10. All documents will be filed in the Supervisor's Work Folder chronologically with the most recent document on top.

HRO POLICY/GUIDANCE LETTER #10

SUBJECT: Purpose and Guide for the Supervisor's Work Folder and Contents

11. Disposition of the Supervisor's Work Folder.

a. When the technician moves to a new position serviced by the same HRO, the folder will be forwarded to the gaining supervisor by the losing supervisor.

b. When the technician moves to a new position serviced by a different HRO, or when the technician is separated from Federal Service, the folder will be destroyed 90 calendar days after the separation date.

c. When a technician is ordered to extended active military duty, the folder may be destroyed 60 calendar days after the separation date. A new folder will be established if the technician exercises restoration.

d. If a former technician is re-employed, a new folder will be created.

e. There may be instances where the Supervisor's Work Folder must be retained after the 90-day timeframe (i.e., when litigation is pending). In such cases, the folder will be forwarded to the HRO. The HRO will retain until it is no longer needed.

f. Supervisor Work Folders will be disposed by either (1) marking the file obsolete and forwarding to the technician or (2) shredding, burning, or pulping the file.

12. Staff Assistance Visits regarding the administration of this system will be on a request basis.

13. Questions, comments, or concerns may be addressed to SMS Bernadette M. Turner, at (410) 576-6053 or email: bernadette.turner@mdbalt.af.mil.

FOR THE ADJUTANT GENERAL:



ANNETTE M. DEENER
COL, GS, MDARNG
Human Resource Officer

DISTRIBUTION:

All Full-Time Support Managers/
Supervisors (Army and Air)