

Records and Information Management

Official Personnel Folder and Supervisory Files

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Applicability. California National Guard Full-time Personnel Regulation (CNGFPR) applies to all California Army and California Air National Guard technicians and to commanders, managers, and supervisors (military or civilian) with authority or responsibility over technician personnel management.

Proponent and Exception Authority. The proponent of this regulation is the Joint Force Headquarters, J-1, Directorate for Human Resources. The proponent has authority to approve exceptions to this regulation when they are consistent with controlling laws and regulation.

Supplementation. Supplementation of this regulation is prohibited.

Suggested Improvements. Users of this regulation are invited to send comments and suggested improvements to Joint Force Headquarters, Directorate for Human Resources, 9800 Goethe Road, Sacramento, CA 95826-9101.

Distribution. Distribution of the regulation is Army - A and Air Force - F.

History. None

Summary. This regulation establishes policy and procedures for the maintaining the Official Personnel Folder (OPF) and supervisory files for California National Guard technician program. It replaces the Technician Personnel Manual, dated 1 May 2006.

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1. Purpose.

This technician personnel regulation establishes the guidelines for maintaining the Official Personnel Folder (OPF) and Supervisory Files.

2. Reference.

Title 5, Code of Federal Regulations (CFR Part 293), and The Office of Personnel Management's Guide to Personnel Recordkeeping

3. Official Personnel Folder.

Each employing agency maintains and safeguards the Official Personnel Folder (OPF) for each employee. There will be only one OPF maintained for each employee regardless of service in various agencies. Servicing HROs have

been delegated as custodians. The OPF of each employee is under the jurisdiction and control of the Office of Personnel Management (OPM). Information in the personnel records system is of a personal nature. Therefore, access will be limited to management officials, the technician concerned, and individuals whom the technician has given written permission.

a. The OPF is the official repository of personnel actions taken during an employee's Federal service together with all required supporting documentation. The folder shall contain long-term records concerning the employee's status and service as required by OPM instructions. These personnel actions and documents give legal force and effect to personnel transactions and establish employee rights and benefits under the pertinent laws and regulations governing Federal employment.

b. Permanent records concerning the employee's status and service are filed in chronological order on the right side of the personnel folder. Temporary records are filed on the left side.

c. Employees are provided a copy of all documents at the time an action concerning them is processed. Employees should keep these documents together in one location. Should the need arise, selected copies can be made at the employee's request.

d. When the employee leaves Federal service, the OPF is sent to the National Personnel Records Center.

4. Supervisor's Employee Work Folder.

a. Supervisors have access to certain types of information regarding the employees they supervise. This information should be maintained in an Official Employee Work Folder. Supervisors should have a work folder for each employee they supervise. The Employee Work Folders are independent of any files maintained by the HRO. If properly maintained, these files can be a valuable management tool.

b. The following is a list of records which can be maintained by the supervisor in this folder:

- (1) The most current NGB Form 904-1
- (2) Training records – including any formal training plans
- (3) Leave schedules
- (4) Position descriptions
- (5) Performance plans
- (6) Performance ratings
- (7) Pending personnel actions
- (8) Award recommendations
- (9) Disciplinary/adverse action backup materials

c. The following may ***not*** be maintained by the supervisor in the folder:

- (1) Personnel Action Forms (SF-50)
- (2) Pre-employment information (applications, resumes, etc.)
- (3) Security/investigative/clearance reports
- (4) Race & National Origin Identification (SF-181)
- (5) Self-ID of Medical Disability (SF-256)
- (6) Personal medical information
- (7) Letters of Indebtedness
- (8) Employee's photograph

d. The Employee Work Folder can also be used to record personal emergency information and to document significant events and discussions supervisors have with their employees concerning performance, recognition, training and conduct. Documentation is a supervisor's responsibility and should **NOT** be assigned to clerical personnel. Employees have the right to see and initial notes concerning performance or conduct, and may review the contents of their work folder upon request. When an employee separates or transfers to another activity or agency, the Work Folder should be destroyed after 60 days.