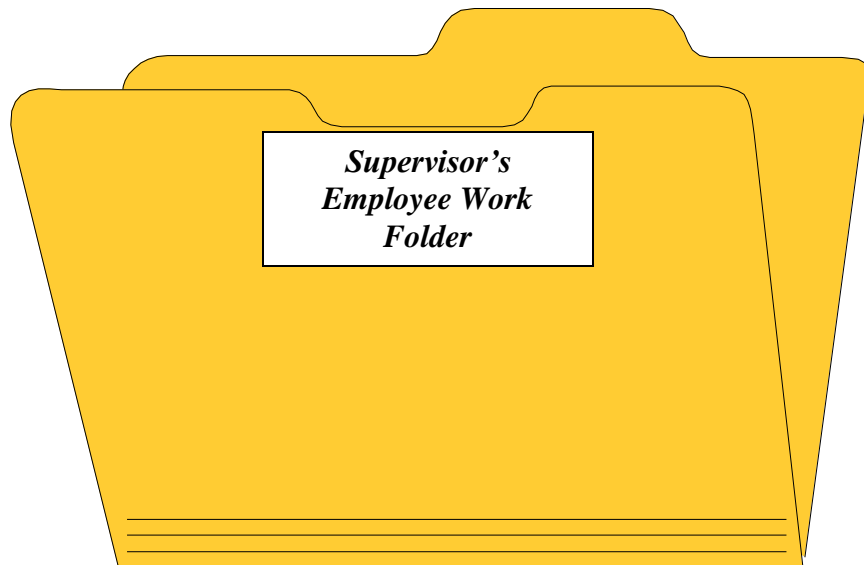


CIVILIAN PERSONNEL FLIGHT
INFORMATION PAMPHLET

MAINTENANCE OF THE
SUPERVISOR'S EMPLOYEE
WORK FOLDER



DYESS AFB, TEXAS

MAINTENANCE/DISPOSITION OF THE SUPERVISOR'S EMPLOYEE WORK FOLDER

PURPOSE:

The purpose of this fact sheet is to inform supervisors of the procedures for proper maintenance and disposition of the Supervisor's Employee Work Folder.

INFORMATION:

The Supervisor's Employee Work Folder, which contains an automated version of the AF Form 971, is a compilation of entries concerning an employee. This record is often referred to as the "971 record." The comments entered may be positive or negative. Although the employee is allowed to review the record upon request, this is the supervisor's record, not the employee's.

Supervisors are responsible for maintaining the Supervisor's Employee Work Folder. The automated AF Form 971, "Supervisor's Employee Brief" contains training records; indebtedness complaints, position descriptions, performance plans (AF Form 860 and CORE documents) and three years of appraisals (AF Form 860A). The file should contain any relevant information concerning performance to back up those appraisals; oral admonishments, reprimands, or other disciplinary records; documentation of policies and discussions with the employee; memos concerning training, refresher training, recurring briefings, etc.

For proper maintenance, the folder should periodically be reviewed and purged of obsolete information or records. For example, oral admonishments and letters of reprimand must be deleted after two years; suspensions after three years, debt letters and other letters of caution should also be destroyed after two years. However, records of counseling and reinforcement of supervisor policies are not time limited.

In the event that the supervisor leaves the organization, the folder remains behind for use by the new supervisor. However, if the employee changes positions within the same organization or moves to a different organization at Dyess AFB, the losing supervisor sends the complete, up-to-date Employee Work Folder to the gaining supervisor in a sealed envelope within 10 workdays. It should not be hand-carried by the employee.

If the employee transfers to another Air Force installation or to another government agency, the Employee Work Folder is destroyed after 60 days. The records are not transferred to the next base in the case of transfers to other Air Force bases.

If the employee resigns, the folder is destroyed after 60 days. Do not destroy the folder if the employee separates as a result of an adverse action (such as removal), or under circumstances where Equal Employment Opportunity (EEO) complaints, appeals, or other actions are pending.

Air Force Pamphlet 36-106 contains the procedures and instructions for maintaining the Supervisor's Employee Work Folder. For further guidance, please contact your Civilian Personnel Flight at extension 6-2393.

///Signed///

KAREN S. THOMAS
Civilian Personnel Officer

Supervisor's Employee Work Folder

It is the responsibility of each first-level supervisor of a civilian employee to maintain an employee record as prescribed by AF Pamphlet 36-106. Supervisors at higher levels will not maintain duplicate sets of records, unless approved locally by the head of the organization (e.g., civil engineer commander, supply commander, etc.). Each supervisor will ensure records are adequately maintained to protect employee privacy.

The responsibility of the Civilian Personnel Flight (CPF) is to provide the basic automated records as required, issue instructions for upkeep and use, and to train and assist supervisors in the use of these records. If you require automated records, contact the CPF at extensions 6-2391/2393 respectively.

It is the responsibility of the organizational commander or a supervisor above the first level to ensure that records are kept at the lowest practicable supervisory level within the organization, and that each supervisor knows and fulfills his or her responsibility for keeping records of the employees supervised.

1. The following guidance is provided to assist you in keeping your employee records manageable. We recommend the use of a six-section folder (NSN 7530-00-990-8884) labeled "Supervisor's Employee Work Folder," set up in the following manner:

- a. Section 1 – Training Records: In accordance with AFI 36-401, the supervisor must keep a copy of the training needs, training plans and evaluations of training that are approved for employees. Information may be part of the Supervisor's Employee Work Folder; however, it is not maintained on the Supervisor's Employee Brief. The supervisor may also maintain an AF Form 1320, Training Chart, to record and control the extent and progress of employee training and development.
- b. Section 2 – Position Description/Surveys: Supervisors must keep a record copy of the AF Form 1378 or Core Document for each employee.
- c. Section 3 – Awards/Commendations/Letters of Appreciation.
- d. Section 4 – Employee Performance Appraisal File – This consists of AF Forms 860A, Civilian Performance Appraisals, performance feedback documentation and performance standards. These records may be kept in section 4 or a separate file labeled Employee Performance File. The CPF recommends the separate file. The last 4 years of appraisals and the performance plan must be maintained. If the supervisor decides to only maintain 4 years worth of records, the CPF recommends discarded copies are furnished to the employee.

NOTE: Supervisors AND managers are not prohibited from maintaining personal notes as memory aids. Such notes are:

- (1) retained for the personal use of the author only, as a memory aid and

(2) not circulated to anyone else including other supervisors or managers, the author's secretary or clerical support personnel and

(3) not required by directives published at any level and may be retained or discarded solely as the author sees fit. When personal notes are maintained, they are not considered to be part of the system or subject to the Privacy Act. By definition, any records authorized or required by written directives are not personal notes; they are official records and are subject to the Privacy Act.

e. Section 5 – Miscellaneous: For example:

(1) Complaints of Indebtedness: Supervisors may retain debt complaint letters and employee replies for not more than 2 years from the date of the filing of the complaint letter.

(2) Leave Schedules: According to AFI 36-808, supervisors prepare a leave schedule for their subordinates each year. This may be maintained in the Employee's Work Folder or in the central office file.

(3) Medical Documentation: Due to Health Insurance Portability and Accountability Act (HIPAA) of 1996 problems obtaining medical documentation from both private and/or military doctors due to concerns of violating the HIPAA privacy requirements could potentially affect reasonable accommodations requests, leave abuse situations, performance or conduct cases. Management can have the employee sign a medical release form that meets the HIPAA requirements so that the doctor will be able to provide information directly to the employer or management can request that the employee obtain the information and provide the supervisor a copy. Where management has a valid need to request medical documentation and the employee chooses not to comply, then the employee is action at their own risk if management is forced to take some adverse action based only on the limited information available. Medical documentation must not be filed in the supervisor's 971 work folder. Medical documentation has to be maintained in a confidential Employee Medical File (EMF) that is located separately from the supervisor's 971 work folder and from the Official Personnel File. However, medical documentation does not include such items as OPM Form 71s requesting/documenting leave or a doctor's medical release forms for the on-duty fitness program, because these forms do not normally contain information regarding the medical condition or history of the employee.

f. Section 6 – AF Form 971, Supervisor's Employee Brief (computer-generated). This is the supervisor's automated record on each employee. Upon request, an employee is permitted to review this record. An automated record is generated when certain personnel actions occur (appointments, transfers, promotions, reassignments, etc.) and is sent to the supervisor. However, the supervisor may request a new brief whenever one is needed. The contents of the AF Form 971 include:

(1) Part A will contain current personal employee data. The supervisor will enter the employee's home address, home telephone and necessary emergency information on each brief as soon as it is received from the CPF by obtaining up-to-date information from the employee.

(2) Part B of the brief provides an area for supervisors to record comments and remarks occurring during the year. Record discussions with the employee on performance, emergency-essential responsibilities, debt complaints, duty and travel restrictions, conduct of the employee and other pertinent data. Also, record letters of appreciation in this area. Additional entries may be added by using plain bond paper attached to the brief. The current AF Form 971 is not destroyed if it contains disciplinary or performance entries. Important note: Entries for oral admonishment or reprimand must be destroyed 2 years from the effective date. Call the CPF for questions.

NOTE: Part A and B are detachable and all discussions which could potentially lead to performance or disciplinary actions are retained and attached to a new employee brief. See a CPF specialist before destruction.

(3) Part C contains employee's experience data (10 occurrences), education (4 occurrences), performance (3 occurrences), training (10 occurrences) and awards information (10 occurrences) and is automatically updated when significant changes occur. If the employee has attended training which does not appear in Part C, the supervisor should annotate Part B with the appropriate description.

2. The immediate supervisor files the brief and other pertinent records. They must be protected from unauthorized access and must be convenient for making entries.

In accordance with Air Force Instruction 36-507, the Civilian Personnel Flight (CPF) must ensure the next of kin are notified when a civilian is injured or becomes a casualty because of a military operation or terrorist action. The Emergency Notification Information letter should be included in section 6 of the Supervisor's Employee Work Folder so the supervisor will have easy access to the information in the case the need arises.

3. Disposition: The following procedures are used for disposing of the Supervisor's Employee Work Folder:

a. When a supervisor leaves the organization, the Supervisor's Employee Work Folder is retained for the gaining supervisor (including the AF Form 860, Civilian Performance Plan).

b. When an employee moves to a different organization on the same base, the losing supervisor sends the complete, up-to-date Employee Work Folder to the gaining supervisor with the AF Form 860 in a sealed envelope within 10 workdays.

c. When an employee is transferred to another Air Force installation, the Employee Work Folder is forwarded to the CPF. If the employee transfers within 90 days of the appraisal period ending, the losing supervisor is responsible for accomplishing the annual appraisal. If

it is more than 90 days, a summary rating is rendered to the Civilian Personnel Flight for forwarding to the gaining installation.

d. When an employee is transferred to another agency, the Supervisor's Employee Work Folder is forwarded to the CPF. If the employee transfers within 90 days of the appraisal period, the losing supervisor is responsible for accomplishing the annual appraisal. If it is more than 90 days, a summary rating is rendered and returned to the Civilian Personnel Flight for forwarding to the gaining installation.

e. When an employee is separated for any other reason other than entrance into military service or an adverse action, the supervisor forwards the Supervisor's Employee Work Folder to the Civilian Personnel Flight.

f. Reprimands maintained in the work folder must be destroyed 2 years from the date of the notice of decision to reprimand and the oral admonishment recorded in the AF Form 971 must be deleted 2 years from the date of admonishment.

4. Safeguarding: These records require procedures that ensure safekeeping and storage in a manner that will protect against casual access to them, will ensure disclosure of them to Air Force officials or others outside of the Air Force only when appropriate and that will not violate personal privacy. Describing explicitly every use of these records or describing all circumstances when they will be disclosed outside of the Air Force is not feasible. All supervisors and employees maintaining these records must be cautioned that they are to use discretion and good judgment when asked to furnish the records and furnish the records only as permitted by the Privacy Act.

Furthermore, each Supervisor's Employee Work Folder should have a label on the front cover with the following information:

PERSONAL DATA
PRIVACY ACT OF 1974
(5 U.S.C 552a)

5. Further assistance is available from the CPF at extensions 6-2393/2391.