

CHAPTER 1
General

1-1 PURPOSE AND SCOPE.

a. The Employee Performance File System (EPFS) provides a method for maintaining performance related records that:

(1) Assist rating officials in monitoring and rating performance.

(2) Provide technicians with information on their actual performance and how their performance may be improved.

(3) Form the basis for decisions involving pay, assignments, reassignments, promotion, reward, training, retention standing, reduction in grade, or removal actions.

1-2 Applicability

This regulation applies to all excepted and competitive National Guard Technicians employed under the provisions of 32 U.S.C. 707.

CHAPTER 2
EMPLOYEE PERFORMANCE FILE SYSTEM

2-1 Location of records in the system.

a. Performance related records for each technician are maintained in separate Employee Performance Folders (EPF) located in the Human Resource Office (HRO) and in supervisor's work folders. The EPF maintained by the HRO will consist of a separate manila folder.

b. The EPF will be labeled so as to identify it as a performance file. Each folder must be retrievable by the technician's name and/or social security number.

c. No copies of the documents filed in the EPF may be retained as a temporary or permanent document in the OPF.

2-2 Contents and retention schedule.

a. The contents of the EPF folder are described in Figure 1. Any state forms that are performance related should be added, along with an appropriate retention schedule, to the figure.

b. Records will be retained IAW the schedule specified in the figure. Retention of data beyond the specified schedule is authorized for historical analysis only. If this is done, the HRO must ensure that the data does not identify technicians.

c. The EPF will be screened as needed but at a minimum, annually. Purged records will be disposed of IAW para 3-4 of this regulation.

CHAPTER 3
SUPERVISOR'S WORK FOLDER

3-1 Maintenance.

a. Supervisors are required to maintain a work folder for each technician under their supervision. Supervisor's Work Folders provide a system for keeping information about those supervised. First line supervisors keep separate work folders for each technician; higher level supervisors are not permitted to maintain duplicate work folders. Within these folders are the documents that will enhance effective supervision and management of the technician workforce. The HRO will provide the basic records and information concerning the technician to supervisors and ensure that they are aware of and fulfill responsibilities for the maintenance of supervisory records. Clerical personnel will not be delegated the responsibility for filing and maintaining the folder. It is the supervisor who is personally responsible for the maintenance and filing of the supervisor's work folder.

b. Folders are normally kept at the supervisor's work site.

However, other locations may be used if the work site cannot protect folders from casual access, inappropriate disclosure, and invasion of personal privacy.

c. The Classification folder (NSN 7530-00-990-8884) is the only authorized work folder. It is a six division work folder which consists of:

- (1) Folder - Classification Folder (NSN 7530-00-990-8884)
titled - Supervisor's Employee Performance File
- (2) Name Plate on Folder
i.e. Doe, John E. 000-00-0000
Position Title Instrument Mechanic
Grade WG-3359-11
- (3) Section I - Position Description
titled - Position Description
Position Description
Option Form 8 (Reviewed Annually)
Position Description Approval Form (See Figure 2)
(Ref NGB TPR 511)
- (4) Section II - Performance Standards & Critical Elements
titled - Performance Standards & Critical Elements.
NJDMAVA Form 430
(Ref. NJDMAVA TPR 430)
- (5) Section III - Standard Form 50 & Other Standard Forms
titled - Standard Form 50 & Other Standard Forms
(SF50/52) should only be maintained until action is complete)
NOTE: Transcribe information from standard form 50 to block 9 of NGB Form 904-1
- (6) Section IV- Supervisor's Record of Technician Employment
titled - Supervisor's Record of Technician Employment NGB Form 904-1.
- (7) Section V - Performance Appraisal NJDMAVA Form 430-2
titled - Performance Appraisal NJDMAVA Form 430-2
NJDMAVA Form 430-2
Technician Performance Feed Back Form NJDMAVA 430-1

(Ref. NJDMAVA TPR 430)

(8) Section VI - Miscellaneous Forms and Documents
titled - Miscellaneous Forms and Documents

Check List - Maintaining the Supervisor's Folder (See Figure 3)
IDP, DD Form 1556, Debt Letter, Etc.

d. Supervisory work folders are part of the Employee Performance File (EPF). As such, they are official records of the agency, and are subject to the provisions of the Privacy Act and the Freedom of Information Act.

(1) The Privacy Act states that any records maintained by the agency must be available for review by the individual to whom they apply. It further states that the only records the agency may maintain on anyone will be lawful and necessary in performance of supervisory duties.

(2) Freedom of Information Act:

(a) The information you may release includes names, past and present positions, title, series, pay plan and grade, salary, and duty station (office symbols).

(b) The information you must not release includes education level, date of birth, home phone numbers, home address and SSAN.

e. The NGB Form 904-1, Supervisor's Record of Technician Employment, is the only authorized supervisory employment record. Changes in technician employment data are recorded on the NGB Form 904-1 as soon as possible. The maintenance of NGB Form 904-1 will be as follows:

- (1) Item 1 thru 7:
Initially completed by HRO
- (2) Item 8: *To be posted at the time of the official rating (last 3 ratings)
- (3) Item 9: Enter information normally obtained from the SF 50 or other notice furnished by the HRO.

(4) Item 10: Enter OPM, military and civilian training received during technician employment.

(5) Item 11: Record incentive award, commendation certificates, length-of-service, suggestion awards etc.

(6) Item 12: *Record comments and discussions that will be considered in making determinations relative to a technician's employment should be entered in this item.

(7) Notations of oral admonishments (date and subject) will be made in pencil and will be deleted from the form when it is determined that it is no longer necessary or relative to a continuing/recurring problem.

(8) When additional space is required, a new NGB Form 904-1 may be prepared by completing block 1 thru 4 or by using supplemental sheets of paper. The continuation form or paper will be attached to the basic NGB Form 904-1. The basic NGB Form 904-1 should reflect the number of pages in existence at all times.

(9) The asterisk (*) indicates a pencil entry only.

(10) Once the information is copied from the SF 50 to the NGB Form 904-1, SF 50 should be given to the technician for their files.

(11) Technicians should be advised to notify their supervisors when changes occur.

f. Personal notes maintained as memory aids are not official agency records and are not subject to the Privacy Act because they are:

(1) Retained for the personal use of the supervisor

(2) Are not circulated or shown to anyone else: AND

(3) Are retained or discarded solely as the supervisor see fits (not under regulatory control).

g. Because supervisory work folders are official records, personal notes retained per the

provisions described in paragraph f above should not be maintained in the supervisory work folder. Such notes should be kept in a location separate from the work folder, closely protected against unauthorized disclosure. If personal notes become part of the "official record", one of the following actions must occur:

(1) Destroy and never refer to them again.

(2) Annotate to indicate they exist.

h. The following documents should be filed in the supervisor's work folder.

(1) NGB Form 904-1

(2) Performance-related records. These records should be maintained for no more than three years. These include: Performance Standards and Critical Elements Form, Performance Feedback Form, Performance Appraisals, records kept to track performance, documents concerning appeals of performance related matters, performance improvement plans, and memorandums or notations of performance counseling.

(3) Annual leave schedules.

(4) Request for Personnel Actions. The SF 52 is kept until the request action is complete.

(5) Training: copies of correspondence of forms relating to training should be maintained until the training is complete. Training plans and Individual Development Plans may be kept until no longer relevant.

(6) Current Position Description

(7) Documents required for the position can be maintained (i.e. copies of licenses, professional accreditation, certificate documenting proficiency with equipment of tools used, firearms proficiency, etc.) until updated.

(8) Documentation supporting awards until the action is complete.

i. The following documents may not be in the supervisor's folder.

- (1) Notification of Personnel Action, SF 50 once the NGB Form 904-1 has been posted.
- (2) Security investigation records and reports.
- (3) Pre-employment vouchers of telephone inquiry notations.
- (4) Letters of indebtedness which have no bearing on a technician's ability to perform his or her duties or the reputation of the National Guard.
- (5) Medical records.
- (6) SF 181, Race and National Origin Identification or SF 256, Self Identification of Medical Disability.
- (7) Photographs
- (8) Training certificates
- (9) Resumes
- (10) Personal notes - see paragraph 3-1 f.

3-2 ACCESS

Upon request, a technician must be allowed to review his/her work folder. Technicians wishing to provide access to another person must provide the supervisor written notification which specifically identifies the person to be given access and the records to be provided. The record can be disclosed to other officials/employees who have a need for the record in the performance of their duties.

3-3 CORRECTION OF RECORDS

A correction of records that requires a change to or removal of documents in the EPF system must be made as soon as possible, but not less than 30 calendar days after it is determined that such correction is required. The correction must be made to all records regardless of location.

3-4 SAFEGUARDING RECORDS

a. Disposition of the EPF will be as follows:

(1) The last three Performance Appraisals, NJDMAVA Form 430-2 and the most current Performance Standards & Critical Element Form NJDMAVA Form 430 is placed with the OPF and sent to the National Records Center (Civilian Personnel Records) 90 calendar days after the separation. The remaining contents in the EPF are destroyed 90 calendar days after the separation date.

(2) When the technician moves to a technician position outside the National Guard Technician Program, the EPF will be destroyed 90 calendar days after the separation date.

(3) When the technician moves to a technician position in another state, the EPF will be forwarded.

(4) When a technician is ordered to extended active duty, the EPF may be destroyed 90 calendar days after the separation date. The HRO will establish a new EPF if the technician exercises restoration.

(5) If a former technician is re employed by NJDMAVA, a new EPF will be created unless the prior EPF is still available. The original EPF may be reactivated as long as it is purged IAW this regulation.

b. Disposition of the supervisor's work folder will be as follows:

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

(2) 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 an action occurs which separates the technician from employment.

(3) When a technician is ordered to extended active duty, the folder may be destroyed 90 calendar days after the separation

date. A new folder will be established if the technician exercises restoration.

(4) If a former technician is re employed, a new folder will be created, unless the prior folder is still available. The original folder may be reactivated so long as it is purged in IAW with this regulation.

(5) If the folder is needed for reasons in para c below it will be forwarded to the HRO.

c. There may be instances where these records should be retained after the 90 calendar day limit (i.e. when litigation is pending). In such cases, the HRO will retain the EPF and work folder until they are no longer needed.

d. HRO will dispose of the EPF and work folder by forwarding the records (clearly marked as obsolete) to the technician or by shredding, burning or pulping.

Figure 1

CONTENTS AND RETENTION SCHEDULES OF RECORDS MAINTAINED IN THE EMPLOYEE PERFORMANCE FILE SYSTEM

RULE	DOCUMENT	EPF	SUPERVISORS WORK FOLDER	REMARKS/RETENTION SCHEDULE
1	NJDMVA Form 430		X	Maintain the most current copy.
2	NJDMVA Form 430-1	X		Retain all copies unless superseded through an administrative or judicial procedure.
3	NJDMVA Form 430-2	X	X	Current copy. Previous copy until 30 days following the end of year appraisal.
4	Performance Standards while on detail	X	X	Maintain the three most current copies.
5	Records kept during appraisal period		X	Most current copy. Required if detailed for 90 days or more.
6	Notice of declining or poor performance	X	X	Quality control records, production records, or similar records used to track technician performance during appraisal period may be retained until a NJDMVA Form 430 is effected.
7	Notice of change to a lower grade		X	Retained until a NJDMVA Form 430 is effected.
8	Notice of removal		X	Before a technician is on a PIP, it must be reviewed by the HRO.
9	Performance review	X		Retain until unacceptable performance rating is disposed of.
10	NGB Form 904-1		X	Retain until the work folder is disposed of.
11	SF 50/52		X	The decision, including supporting documentation and any transcripts of hearing or testimony from witnesses, will be retained for the life of the performance appraisal.
12	Letter of Appreciation		X	See paragraph 3-1e of this regulation.
13	NJDMVA Form 32	X		Retain until action is completed/posted.
14	Training records		X	Because such a letter can serve as a positive performance reminder, a copy should be filed.
15	Individual Development Plan		X	Retained when used to approve a performance award.
16	Non-disciplinary & disciplinary adverse action		X	Retain until action is complete and posted to NGB 904-1.

- Notes:
1. Letting a technician know that information has or will be added to the work folder can help reinforce both positive & negative events.
 2. Where any document is needed in connection with an ongoing administrative or judicial procedure, it may be retained beyond the specific schedule for that purpose only and not as the basis for any future performance based actions.

Figure 2

POSITION DESCRIPTION APPROVAL

PAY PLAN	OCC CODE	GRADE

This is a complete and accurate description of the Duties & Responsibilities of the position _____.

[illegible]

This attachment to be stapled to Position Description described above.

Supervisor's certify the OF8 by signing block 20 and initialing block 23 for Annual Review.

When all blocks are used on QF8, suggest you use attached form