

## Supervisory Record-Keeping Guide

1. **PURPOSE.** Supervisors are required to maintain a work folder for each technician under their supervision. Within these folders are the documents that will enhance effective supervision and management of your technician workforce.

2. **REFERENCE:** Technician Personnel Regulation (TPR) 293-31, Union Agreement, and Military Department Policy Memorandum on Personnel Files and Personnel Documents.

3. Supervisory work folders

- a. Supervisory work folders are part of the Employee Performance File System. 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.
- b. The folder should be an up-to-date record relative to all personnel actions, training, performance ratings, service history, awards, conduct, disciplinary actions, discussions relevant to a technician's employment, information for requesting personnel actions and as a reference and locator file. **CLERICAL PERSONNEL WILL NOT BE DELEGATED THE RESPONSIBILITY FOR FILING AND MAINTAINING THE FOLDER.**

4. NGB Form 904-1, Supervisor's Record of Technician Employment

NGB Form 904-1, Supervisor's Record of Technician Employment, serves as the basic service history file in the supervisor's work folder. The NGB 904-1 is the ONLY authorized supervisory employment record. You must record changes in technician employment data on the NGB Form 904-1 as soon as possible.

5. Supervisor's personal notes

- a. When you retain personal notes, such notes are not considered part of your work folder as long as these notes are:
  - (1) Retained for your personal use only, as a memory aid; AND
  - (2) Not circulated or shown to anyone else including other supervisors, your secretary, or clerical support personnel; AND
  - (3) Not under the control of the agency, i.e., not required by the agency and may be retained or discarded solely as you see fit.
- b. Because your supervisory work folders ARE official agency records, personal notes retained per the provisions described in paragraph 2-3a (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.

6. Correction of records

A correction of records that requires a change to or removal of documents in the supervisor's work folder must be made as soon as possible, but not more than 30 calendar days after it is determined that such correction is required. The correction must be made to all related official records, regardless of location.

7. Safeguarding the records

- a. As a first-line supervisor, you are personally responsible for the maintenance and filing of the supervisor's work folder. You will ensure it is filed in a location secure enough to protect the confidentiality of the records and thereby preserve the privacy of the individual whose name appears thereon.

- b. Work folders are normally kept at your work site. However, you should use other locations if you can not protect the folders from casual access, inappropriate disclosure, or invasion of personal privacy at the work site.
- c. Because the information contained in the folder is of a personal nature, access will be limited to:
  - (1) Management officials in performance of official duties;
  - (2) The technician concerned; and
  - (3) Individuals to whom the technician has given written permission.
- d. You must allow a technician to review his or her personal work folder upon request. In addition, a technician who wishes to give any other person access to your work folder pertaining to him or her may give you written authorization. This authorization **MUST** be in writing, and must specifically identify the person to be granted access and the records to be reviewed.
- e. Higher-level supervisors (at any level) are **NOT** permitted to maintain duplicate work folders for your workers. Access to your supervisory work folders by any other management officials, including your superiors, must be in performance of official duties.
- f. If you should receive a request for information concerning one of your technicians under the Freedom of Information Act, you must release or protect the following information following written request:
  - (1) The information you **MAY RELEASE** includes name; past and present position; title; series, pay plan, and grade; salary; and duty station (office symbol).
  - (2) The information you **MAY NOT RELEASE** includes education level; date of birth; home phone number; home address; and SSAN.

#### 8. Contents of supervisory work folders

- a. The following documents **SHOULD** or **MAY** be filed in your supervisor's work folders:
  - (1) NGB Form 904-1, Supervisor's Record of Technician Employment. This is the **ONLY** authorized supervisory employment record; the SF7-B or AF Form 971 will not be used to record technician data. SPMO completes items 1 through 7 from available records. The remainder of the form is self-explanatory. You complete and update all segments of the form as appropriate. Advise your technicians to notify you immediately when personal data changes.
  - (2) You may keep performance-related records relevant to the technician's current assignment **FOR NO MORE THAN FIVE YEARS**. These include, but are not limited to; performance elements/standards and ratings of record, records you keep to track performance, documents concerning reconsideration or appeal of performance-related matters, performance improvement plans, and memorandums or notations of performance counseling.
  - (3) You may keep conduct-related records **UNTIL THEY ARE NO LONGER RELEVANT TO A PRESENT PROBLEM**. Only letters of reprimand contain specific disposition dates. Since the SPMO maintains the official file, you will **NOT** keep copies of adverse action records once the action is completed (notations on the NGB Form 904-1 are sufficient).
  - (4) As a minimum, you must maintain on file at least one certified copy of each position description applicable to technicians you supervise. You may file current position descriptions for each basic position in the work folders of your individual technicians or maintain them in a central location.

- (5) If you prepare annual leave schedules to assure timely use of annual leave, they may be filed in work folders or in a central location.
  - (6) You may keep copies of SF 52, Request for Personnel Action, UNTIL THE REQUESTED ACTION IS COMPLETED.
  - (7) You may keep copies of correspondence or forms related to training UNTIL THE TRAINING IS COMPLETED. Training plans and Individual Development Plans may be kept until no longer relevant.
  - (8) You may retain documents required for the position (i.e., copies of licenses, professional accreditation, certificate documenting proficiency with equipment or tools used, firearms proficiency, etc.) until updated.
  - (9) You may keep copies of documents supporting an award or commendation UNTIL THE ACTION IS COMPLETED.
  - (10) ANG supervisors must maintain AF Form 55, Employee Safety and Health Record, in accordance with applicable regulations.
  - (11) Before maintaining ANY OTHER RECORDS you consider valuable in reaching decisions on courses of employment action regarding individual technicians, contact your SPMO representative.
- b. You MAY NOT maintain the following documents in your supervisor's work folders:
- (1) Copies of SF 50s, Notification of Personnel Action, ONCE THE NGB Form 904-1 HAS BEEN POSTED. (Remember; you are to post updated information from SF 50s you receive concerning your subordinates immediately to the NGB Form 904-1 and give the document to the affected technician.)
  - (2) Security investigative records or reports.
  - (3) Pre-employment vouchers or 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.

#### 9. Disposition of supervisory work folders

The disposition of the work folder, including NGB Form 904-1 and any continuation sheets is as follows:

- a. Forward the folder and the NGB Form 904-1, with all attachments, to the gaining supervisor when the technician moves to a new position serviced by the same SPMO.
- b. Forward the work folder and the NGB Form 904-1, with all attachments, to the SPMO within 60 days after the separation date when the technician moves to a new position serviced by a different SPMO, or when the technician is separated from federal service. Destroy or dispose of the remaining contents of the work folder using guidance prescribed by your SPMO.
- c. Forward the work folder and the NGB Form 904-1, with all attachments, to the SPMO within 60 days after the separation date when a technician is ordered to extended active duty. Destroy or dispose of the remaining contents of the work folder using guidance prescribed by your SPMO. You will establish a new folder if the technician exercises restoration rights at a later date.
- d. Forward the entire file to the SPMO if it may be needed beyond 60 days following separation of a technician for reasons such as litigation pending, adverse action appeals, grievance procedures, etc.
- e. When destroying work folder records, you may either forward the records (clearly marked as obsolete) to the technician or shred, burn or pulp them.