

**HRSC-SW Operating Procedure 12293.4a**

Subj: OFFICIAL PERSONNEL FOLDER, EMPLOYEE PERFORMANCE FOLDER, AND  
EMPLOYEE MEDICAL FOLDER

Ref: (a) The Guide To Personnel Recordkeeping

1. **Purpose.** To establish responsibilities and procedures for the physical control of, and access to Official Personnel Files (OPFs), Employees Performance Files (EPFs), and Employee Medical Files (EMFs).
2. **Cancellation.** HRSC-SW-OP-12293.4 of 18 December 2002
3. **Background.**

a. The Official Personnel File is the file-containing records that cover an individual's employment history. Although the records are in the physical custody of the HRSC-SW, the Office of Personnel Management owns the files and prescribes rules for creating, maintaining, using and disposing of the OPF. The long-term records in the file are chosen to protect the legal and financial rights of the employee.

b. The Government Employee Performance File contains documentation pertaining to employees' performance ratings of record and is maintained separately from the OPF. Ratings of record that are four years old or less are placed in the OPF upon transfer to another agency. The Department of the Navy has determined that EPFs will be maintained by local Human Resources Offices or employing activities.

c. Since 1984, the Employee Medical Folder has been used to store long-term occupational medical records that were created during an employee's Federal career. These records do not include records on claims filed under the Federal Employee's Compensation Act. There may not be an EMF for each employee. When an employee for whom there are long-term occupational medical records separates from Federal service, the last employing agency sends the EMF to the National Personnel Records Center. The National Personnel Records Center retains these folders for 30 years after separation.

d. The OPF, EPF, and EMF contain information subject to the Privacy Act of 1974, as amended. As such, special care must be taken to guard against unauthorized disclosure of information and to ensure that records are protected against loss or unauthorized adulteration.

e. The Department of Defense has developed the Civilian Servicing Unit (CSU). The CSU combines data from the Defense Civilian Personnel Data System (DCPDS), the Defense Civilian Pay System (DCPS) and a variety of Personnel Process Improvement systems into a single system. The system allows authorized user to access employee information from a personal computer. All Human Resources offices have access to CSU.

4. **Responsibilities and Procedures.** The HRSC-SW and the customers it serves (i.e., HROs, activity management, and employees) are responsible for executing the procedures outlined below.

a. **HRO responsibilities:**

(1) Mail the EPF to the HRSC-SW upon notification that an employee has resigned, retired, or transferred to another organization not serviced by the HRO and HRSC-SW. Forward EPF to gaining activity when employee transfers to another activity within HRSC-SW service area.

(2) Exercise the use of CSU and DCPDS in order to minimize manual requests and shipping of OPFs or documents contained in OPFs. HROs should review requests to ensure that the information requested is not available through direct electronic sources.

(3) Site managers designate their staff members who are authorized to request records from the HRSC-SW. Provide staff member full name, SSN, telephone number, and name of activity via e-mail to: [hrscsw\\_opfrequest@navy.mil](mailto:hrscsw_opfrequest@navy.mil) . In the interest of OPF safeguarding and custody tracking, limit the number of authorized requestors to essential staff.

(4) Forward requests for OPFs or specific OPF documents required by HRO staff, managers, or employees to the HRSC-SW Records Branch via e-mail: [hrscsw\\_opfrequest@navy.mil](mailto:hrscsw_opfrequest@navy.mil) . In the body of the e-mail list in alphabetical order OPFs requested: LAST NAME, FIRST, INITIAL and SSN, and/or specify the OPF document requested. If an employee requests a copy of his/her entire OPF and if the HRO agrees the request is reasonable, the HRO may request the OPF from the HRSC-SW, make a copy of the contents for the employee, and return the original OPF to the HRSC-SW within five working days.

(5) Receive OPFs from HRSC-SW and ensure that the records remain subject to HRO control at all times. Upon receipt of requested records, the HRO will sign an enclosed receipt acknowledging delivery of the OPFs and return a signed copy via fax to: (619) 615-5894. The HRO is responsible for the security and tracking of the OPF until it is returned to the HRSC-SW.

(6) Return OPFs to HRSC-SW, Records Branch, Code 522, as soon as possible, normally within three to five working days after receipt. Depending on geographical location to the HRSC-SW, return records via signed receipt courier service, certified mail, or Federal Express that utilize signed receipts. Include an inventory listing to document records shipped. Return OPFs in a separate container directly to Code 522 (Records Branch, Attn: to the person shown as the HRSC-SW point of contact on the transmittal sheet). Do not "bundle" or commingle the OPFs with other routine mailings destined to other branches or individuals within the HRSC-SW.

(7) When notified by HRSC-SW that separated OPFs are being shipped to the National Personnel Records Center, St. Louis, MO, report via e-mail to: [hrscsw\\_opfrequest@navy.mil](mailto:hrscsw_opfrequest@navy.mil), what records need to be retained in event of pending litigation.

(8) Accommodate requests from serviced employees who wish to view their own OPF. If the serviced employee is geographically located in an area remote from the HRO, the HRO will coordinate with HRSC-SW via email to: [hrscsw\\_opfrequest@navy.mil](mailto:hrscsw_opfrequest@navy.mil), to arrange alternative accommodation.

b. **Management responsibilities:**

(1) Where management maintains EPFs, forward the EPF to the HRO upon notification that an employee has resigned, retired, or transferred to another organization not serviced by the HRO and HRSC-SW. Forward EPF to gaining activity when employee transfers to another activity within HRSC-SW service area. The EPF must contain documentation of performance ratings of record that are four years old or less. For Demonstration Project employees, include documentation equivalent to the notice of rating and performance plan. For SPAWAR Demonstration Project employees, this documentation includes the performance rating notification letters and the performance planning/appraisal forms; for Demonstration Project employees at NAVAIRWARCEN China Lake/Point Mugu, this includes the performance plan and performance assessment appraisal form.

(2) Use CSU and DCPDS to obtain employee information whenever possible.

(3) Request OPFs via the servicing HRO. Requests for OPF documents that are not available through direct electronic means may be requested via e-mail to HRSC-SW: [hrscsw\\_opfrequest@navy.mil](mailto:hrscsw_opfrequest@navy.mil).

c. **Employee responsibilities:**

(1) When information from the OPF is needed, follow the steps below:

(a) Contact the supervisor or servicing HRO to determine if requested information is available locally through direct electronic means.

(b) To view the OPF, submit request to servicing HRO who requests the record from HRSC-SW and arrange for the OPF to be reviewed.

(c) For copies of OPF documents that are not available to the HRO through direct electronic means, submit requests to the HRO who will obtain from HRSC-SW.

(2) Maintain personal copies of official personnel documents, such as SF 50s and benefits forms. By maintaining personal files, employees can maintain their own ready access to documents as needed.

d. **Medical Clinic responsibilities:**

(1) Ship the EMF to the National Personnel Records Center, St. Louis, MO, (NPRC), upon e-mail notification from HRSC-SW that an employee has separated – resigned, retired,

removal, termination, etc. NPRC will reject for storage any occupational health medical records not contained in the blue-colored Employee Medical Folder, SF 66-D. "The Guide to Personnel Recordkeeping," Chapter 7-9, refers.

(2) Upon e-mail notification from HRSC-SW that an employee has transferred to an activity not serviced by the current medical clinic/HRO, forward the EMF to HRSC-SW for inclusion with the OPF and EPF pending shipment to the new activity. If the employee is transferring to another activity serviced by HRSC-SW, the losing dispensary forwards the EMF directly to the dispensary at the gaining activity.

e. **HRSC-SW responsibilities:**

(1) Maintain physical custody of OPFs for employees of all serviced activities. Documents will be filed in OPFs according to rules set forth in OPM Guide to Personnel Recordkeeping. Documents that are not authorized for filing in the OPF (for example, letters of appreciation or training certificates) will be returned to the sender.

(2) Respond to requests for OPFs or documents contained in OPFs not available through direct electronic access. OPFs are delivered to the HRO by courier or by a mail service that can track receipt. Normally, OPFs are delivered within three workdays of receipt of the request by the HRSC. Documents are delivered by mail or fax to the HRO, manager, or employee, as appropriate.

(3) Maintain OPF chain of custody accounting.

(4) Notify the servicing HRO prior to retiring OPFs to the Federal Records Center.

(5) Request EPF from the HRO via e-mail when an employee transfers to an activity not serviced by the HRO or separates from Federal employment.

(6) Forward OPFs, EPFs, and EMFs to gaining activities for reassigned employees. Forward OPFs and EPFs to the National Personnel Records Center, St. Louis, MO, for separated employees.

5. **Effective Date:** 6 February 2004