

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**D.C. Department of Human Resources**

**District Personnel Manual Issuance System**

**E-DPM Instruction No. 32-01**

This E-DPM instruction may be accessed electronically at [www.dchr.dc.gov](http://www.dchr.dc.gov), by clicking on the "Policies and Procedures" and "Electronic-District Personnel Manual (E-DPM)" links for Chapter(s): **32**

**SUBJECT:** Guidelines and Procedures for the  
Submission of Certain Personnel Records

**Date:** December 19, 2013

**I. PURPOSE**

The purpose of this instruction is to provide guidelines and procedures for the submission of certain personnel records to the Records Management Section in the D.C. Department of Human Resources.

**II. AUTHORITY**

- A. **Statutory Provision** - D.C. Official Code § 1-631.01 *et. seq.*
- B. **Regulatory Provisions** – Chapter 31 of the D.C. personnel regulations, Records Management and Privacy of Records; and Chapter 32 of the D.C. personnel regulations, Sub-Delegation of Personnel Authority.

**III. APPLICABILITY**

The provisions of this instruction, apply to those District government agencies which are subordinate to the Mayor's personnel authority. Other personnel authorities or independent agencies may adopt any or all of these procedures or guidance materials for their respective jurisdictions.

**IV. DEFINITION**

For the purposes of this instruction the following terms have the meaning ascribed:

***Monetary personnel actions***- the processing of personnel action requests that results in an initial appointment or a change in the employee's salary. For example: Career Service Appointment (Probationary), Conversion to Term Appointment, or Promotion (Non-Competitive or Competitive).

***Nonmonetary personnel actions***- the processing of personnel action requests that does not involve a change in an employee's salary. For example: name changes, extension of temporary appointment, or change in service computation date.

---

**Distribution:** Agency Heads, HR Advisors, and DPM Subscribers  
**Retain Until Superseded or Rescinded**

**Official personnel folders (OPFs)**- a file containing records for an individual's District employment career. Employees with OPFs are those covered under the Comprehensive Merit Personnel Act of 1978 (CMPA) (D.C. Official Code § 1-601.01 *et. seq.*), and some District employees not covered under the CMPA. The permanent records in the file are included to protect the legal and financial rights of the District government and the employee.

**PeopleSoft**- the Human Resources Information System utilized in the Government of the District of Columbia.

**Personnel record** - any record concerning an individual which is maintained and used in the personnel management process under the authority of the Comprehensive Merit Personnel Act of 1978 (D.C. Official Code § 1-601.01 *et. seq.*), or other law or regulation.

**Sub-delegated personnel authority** – the delegation of personnel activities by the Director of D.C. Department of Human Resources to designees within subordinate agencies under the personnel authority of the Mayor, as provided in Mayor's Order 2012-28 *Sub-Delegation and Delegation of Personnel Authority – Director, D.C. Department of Human Resources and Chief of Police* dated February 21, 2012.

## V. General

- A. Subordinate agencies with sub-delegated personnel authority in the area of recruitment and selection for all Career, Legal and Management Supervisory Service positions shall be required to transmit all nonmonetary personnel actions and supporting documentation to the Records Management Section in the D.C. Department of Human Resources (DCHR) for filing in impacted employees official personnel folders (OPFs).
- B. Subordinate agencies with sub-delegated personnel authority to process monetary and nonmonetary personnel actions for all Career, Legal and Management Supervisory Service positions shall be required to transmit the original personnel records to the Records Management Section in the DCHR.

## VI. Agency Responsibilities

- A. The type of documentations that will be transmitted to the DCHR's Records Management Section, includes:
  - (1) Nonmonetary personnel actions which includes, but are not limited to:
    - (a) Name Changes;
    - (b) Change in Service Computation Dates;
    - (c) Extension of Temporary/Term/Taper Appointments; or
    - (d) Details.

**Note:** The above personnel actions should include the required supporting documentation; such as: marriage/divorce document, form DD214, prior Form 1s/SF-50s, justification memorandum, etc.

- (2) The personnel records that have been created for new hires or rehires to the District government in subordinate agencies with sub-delegated personnel authority to process monetary and nonmonetary personnel actions for all Career, Legal and Management Supervisory Service positions. The personnel records should contain the documents listed in the DCSF No. 1258 Official Personnel Folder Checklist (DCSF No. 1258). The following are some of the items that should be included in the personnel records:
  - (a) SF 50, Notification of Personnel Action;
  - (b) Signed, dated, and accepted offer of employment letter;
  - (c) D.C. 2000 Employment Application/Resume;
  - (d) DCSF- 61a, Appointment Affidavit;
  - (e) DCSF-61b, Declaration of Appointment; or
  - (f) DC OF-8, Position Descriptions.
  
- (3) In the case of a rehired employee, subordinate agencies with sub-delegated personnel authority to process monetary and nonmonetary personnel actions shall request the Official Personnel Folder (OPF) for verification of prior employment of the rehired employee from the prior agency's personnel office. The OPF should be consolidated and included with the rehired employee's personnel record.
  
- (4) Confidential records that include documents or forms of a sensitive nature shall be maintained in a yellow envelope marked "Confidential Envelope" outside of the OPF. Each confidential envelope should include a label typed using a Times New Roman 12 point font and placed on the upper right side of the horizontal envelope with the following information:
  - "CONFIDENTIAL ENVELOPE"
  - LNAME(last name), FNAME (first name), MNAME/M.I. (middle name or middle initial)
  - "EMPLID" then the actual number to include the "0's"
  - \*\*\*\*\*2222 (5 asterisks and the last 4 digits of the social security number)

### SAMPLE CONFIDENTIAL ENVELOPE LABEL



- B. All Notification of Personnel Actions (SF-50s) must be printed and signed, prior to transmitting to the DCHR's Records Management Section.

#### **VII. Procedures for Transmitting Nonmonetary Personnel Actions, Personnel Records and Confidential Envelopes**

- A. For each employee, group all nonmonetary personnel actions (including supporting documentation) as either active (current employee) or inactive (separated employee); then, place each group in alphabetical order by the last name of the employee.
- B. All personnel records and confidential envelopes shall be grouped as either active or inactive; then, place each group in alphabetical order based on the last name of employee.
- C. Each agency representative shall complete the DCSF No. 1258 and check (✓) each document being submitted for each employee to the DCHR's Records Management Section. The agency representative should sign the last page of the form indicating that he or she has reviewed the paperwork being delivered for each employee. The DCSF No. 1258 should be paper clipped to the employee's documentation and ensure that all staples have been removed.
- D. The agency representative should batch all of the employee's documentation, personnel records or confidential envelope that is being delivered in a secure envelope to DCHR by using the DCSF No. 32-01 Official Personnel Records/Documents Batch Sheet (DCSF No. 32-01). The DCSF No. 32-01 should include the name and employee ID of each employee whose documentation is being submitted for filing. The agency representative shall ensure that two copies of this form are included with the package being delivered to either the agency's DCHR Human Resources Specialist or DCHR's Records Management Section.
- E. On the second Friday of each month, an agency representative shall deliver the documentation specified in section VII(A) and (B) of this instruction, for the previous month that needs to be filed.

Delivery of Nonmonetary Personnel Actions, Personnel Records, and Confidential Envelopes	
<p>Subordinate agencies with sub-delegated personnel authority <u>to process nonmonetary personnel actions</u> shall submit personnel records and confidential records to:</p> <ul style="list-style-type: none"> <li>• All personnel records should be delivered to the agency's DCHR Human Resources Specialist.</li> </ul>	<p>Subordinate agencies with sub-delegated personnel authority <u>to process monetary and nonmonetary</u> personnel actions shall submit all personnel records and confidential records to:</p> <p>D.C. Department of Human Resources Records Management Section 441 4<sup>th</sup> Street, N.W., Suite 1C30N Washington, D.C. 20001</p>

- F. Once the package is received by the DCHR's Records Management Section, a representative will sign and date both copies of the DCSF No. 32-01. A copy of this form will be returned to the subordinate agency for records purposes.

### **VIII. DCHR Records Management Section Responsibilities**

- A. Within five (5) business days of receiving the documentation submitted by the subordinate agencies, the DCHR Records Management Section shall review the paperwork for completeness (ensure that all checked off forms on the DCSF No. 1258 are present and have required signatures, etc.).
- B. If additional documentation(s) or signature(s) is needed, the DCHR Records Management Section shall contact the agency's Human Resources Advisor via email to inform him or her that the incomplete paperwork will be returned to the agency. The notification shall include the name of the employee and name of documentation(s) that is missing, incomplete or require a signature.
- C. The agency shall resubmit the documentation to the DCHR Records Management Section after outstanding issues on the personnel records listed on DCSF No. 1258 have been addressed.
- D. Once all completed documentation is received by the DCHR Records Management Section, the DCSF No. 1258 will be signed and dated. A copy of the completed DCSF No. 1258 will be emailed to the agency's Human Resources Advisor.
- E. The DCHR Records Management Section will scan and maintain a copy of the completed DCSF No. 1258.
- F. The DCHR will be responsible for creating and updating all OPFs for employees in subordinate agencies under the Mayor with sub-delegated personnel authority.

**IX. EFFECTIVE DATE**

This Instruction is effective immediately.



Shawn Y. Stokes  
Director

**Attachments:**

- *DCSF No. 1258, Official Personnel Folder Checklist (Rev. 12/2013)*  
*DCSF No. 32-01, Official Personnel Records/Documents Batch Sheet (Issued 12/2013)*





## Official Personnel Folder (OPF) Checklist

Employee Name: \_\_\_\_\_

Employee ID No.: \_\_\_\_\_

• Tab Insert

- Last Name First
- Social Security Number (Last 4 digits)

• Front of OPF\*

- Official Personnel Folder Safeguarding Provisions Label
- Spouse Equity Court Order (DCSF-1280); if applicable

\*NOTE: Inspect for availability and accuracy. "SF" - Federal government form; "DCSF" - District government form; (\*\*) Indicates the form has been revised or is a newly issued form/document since the last issuance of the DCSF 1258 (on 6/09).

The applicable personnel documents and records listed on the checklist below affect employees' status, benefits, and service; and **MUST** be filed in the OPF and maintained as follows:

1. Documents designated as permanent records are identified by the letters "**RS**" in parenthesis, and **MUST** be filed on the right side of the OPF in chronological order by effective date.
2. Documents designated as temporary records are identified by the letters "**LS**" in parenthesis, and **MUST** be filed on the left side of the OPF in chronological order by effective date.
3. Documents *italicized* are collected and stored in the OPF since the implementation of the PeopleSoft System in October 2007.
4. Documents on the confidential list (page 3) **SHALL NOT** be filed in the OPF:

- |  |   |
|--|---|
| <input type="checkbox"/> <i>Personnel Form 1/ Form 50, Notification of Personnel Action (RS)</i>                                       | <input type="checkbox"/> DCSF-59, Request for Approval of Non-Competitive Action (RS)                                     |
| <input type="checkbox"/> <i>D.C. Training Form 1 &amp; 1A (RS)</i>   | <input type="checkbox"/> <i>DCSF- 61, Appointment Affidavit/ DCSF- 61a, Appointment Affidavit (RS)</i>                    |
| <input type="checkbox"/> <i>DC OF-8, Position Descriptions (All) (LS)**</i>  | <input type="checkbox"/> DCSF-61b, Declaration of Appointment (RS)**  |
| <input type="checkbox"/> <i>DCSF-9, Computation of Service Computation Date (RS)</i>   | <input type="checkbox"/> OMBS-90, Tax Withholding - Non-Resident (LS)   |
| <input type="checkbox"/> <i>DCSF 11B-01, Request for Superior Qualifications Appointment (RS)</i>                                      | <input type="checkbox"/> <i>SF-127, Request for Official Personnel Folder (LS)</i>  |
| <input type="checkbox"/> <i>DCSF 11B-02, Severance Pay Worksheet (RS)**</i>  | <input type="checkbox"/> <i>SF-144, Statement of Prior Federal Service (RS)</i>   |
| <input type="checkbox"/> <i>DCSF 38-01, Management Supervisory Service Severance Pay Worksheet (RS)**</i>                              | <input type="checkbox"/> SF-171, DCSF-171A, DCSF-172, & DCSF-171R (RS)  |
| <input type="checkbox"/> P.O. Form 12, (Outstanding/Unsatisfactory) (RS)   | <input type="checkbox"/> <i>DC 2000/Résumé/DC 2000A/DC-2000RP (RS)**</i>  |
| <input type="checkbox"/> P.O. Form 12, (Excellent, Satisfactory) (LS)  | <input type="checkbox"/> <i>DD-214, Report of Separation from Active Duty (RS)</i>  |
| <input type="checkbox"/> Performance Management Program Performance Evaluation Form (Role Model/Inadequate Performer (RS)**            | <input type="checkbox"/> DCSF 276, Authorization for Salary Step Increase (RS)  |
| <input type="checkbox"/> Performance Management Program Performance Evaluation Form (Highly Effective/Valued/Marginal Performer)(LS)** | <input type="checkbox"/> DCSF B-276, Salary Step Increase Form (RS)**   |
| <input type="checkbox"/> SF-15, 10-Point Veteran Preference (RS)   | <input type="checkbox"/> <i>DCSF-300, Certification of Residency (RS)**</i>   |
| <input type="checkbox"/> DCSF-23, D.C. Service Record Check (RS)   | <input type="checkbox"/> <i>DCSF-300B, Notification and Certification of Domicile Requirement (RS)**</i>                  |
| <input type="checkbox"/> DCSF 26-1956A, Post-1956 Military Service Retention Credit Option Form (RS)**                                 | <input type="checkbox"/> <i>DC Form 305, Certification of Submission of Proofs of District Residency or Domicile (RS)</i> |
| <input type="checkbox"/> <i>DCSF-52, (Details/Resignation) (RS)</i>  | <input type="checkbox"/> SF-813, Verification of Military Service (RS)**  |
| <input type="checkbox"/> <i>DCSF-52 (Resulting in Personnel Form 1) (LS)</i>   | <input type="checkbox"/> SF-1150, Transfer of Leave/Record of Leave Data (RS)   |
| <input type="checkbox"/> DCSF-52A (Authorization for Personnel Action CS-14 and Above) (LS)  | <input type="checkbox"/> <i>SF-1152, Designation of Beneficiary - Unpaid Compensation (LS)**</i>                          |
| <input type="checkbox"/> <i>PeopleSoft, Personnel Action Request (PAR) /Job Requisition (LS)</i>                                       | <input type="checkbox"/> DCSF-1201, Certification (Expert/Consultant) (RS)  |
|  | <input type="checkbox"/> DCSF-1231, Notification in Case of Emergency (LS)  |
|  | <input type="checkbox"/> DCSF-1269 & 1270, D.C. Health Benefits (RS)**  |

- DCSF-1275, D.C. Life Insurance - Election **(RS)\*\***
- DCSF-1276, D.C. Life Insurance - Beneficiaries **(RS)**
- DCSF-1285, Enrollment –Deferred Compensation **(RS)**
- DCSF-1286, Request for Payment - Participant **(RS)\*\***
- DCSF-1287, Request for Payment -Beneficiary **(RS)**
- SF-2809, Health Benefits - CSRS **(RS)\*\***
- SF-2810, Health Benefits - Change Form **(RS)**
- DCSF-69, Personnel Exchange Agreement **(RS)\*\***
- SF-2817, FEGLI - Application **(RS)\*\***
- SF-2821, FEGLI - Agency Certification of Insurance Status (e.g., termination, retirement, death) **(RS)\*\***
- SF-2822, FEGLI - Change Form/Request for Insurance **(RS)\*\***
- SF-2823, FEGLI - Designation of Beneficiary **(RS)\*\***
- Corrective/Adverse Action Final Decision Letters under 3 years old **(LS)**
- Court Orders, Settlement Agreements, and Administrative Orders (e.g., OEA, MSPB) requiring a Form 1 or Form 50 action **(RS)**
- Employee Notice of Furlough **(LS)**
- Employee Notification - Drug Free Workplace **(LS)**
- Employment Related Training Certificate **(RS)**
- Evidence of Proof of Death **(RS)**
- Official Reprimands under 3 years old **(LS)**
- Official Transcripts of Service **(RS)**
- Personnel Action Proof List **(LS)**
- Position Data Proof List **(LS)**
- Records Management, Privacy of Records and Security Agreement **(LS)\*\***
- Designation of Emergency/Essential Employee **(LS)**
- Individual Notification of Designation as an Emergency/Essential Employee Form **(LS) \*\***
- Group Notification of Designation as Emergency/Essential Employees **(LS)\*\***
- Signed Letter of Resignation **(RS)**
- Signed Management Supervisory Service Acceptance/Refusal Letter **(RS)\*\***
- Signed Offer of Employment Acceptance/Refusal Letter **(RS)\*\***
- Mass Change List **(RS)**
- DCSF 1249B, TAPER Clearance Form **(LS)**
- DCSF Form 701, Notice of Opportunity to Obtain Religious Accommodations **(RS)**
- Notices of Official Salary Increases or Pay Adjustments **(RS)**
- Occupational/Professional License **(RS)**
- DCSF 04-04, Authorization for Release of Information/Background Investigation – Information Technology Position **(RS)\*\***
- DCSF 04-05, Authorization for Release of Information Pre-Employment Inquiry **(RS)\*\***
- DCSF 04-07, Pre-Employment Screening Checklist **(RS)\*\***
- DCSF 04-09, Agency Determination and Findings for Background Investigation for Information Technology Position **(RS)\*\***
- Sexual Harassment Acknowledgement Form **(RS)\*\***

<p><b>A. SUBORDINATE AGENCY HUMAN RESOURCE OFFICE - REVIEWER</b></p> <p>_____</p> <p style="text-align: center;"><b>Name of Reviewer (Print)</b></p> <p>_____</p> <p style="text-align: center;"><b>Signature of Reviewer</b></p> <p>_____</p> <p style="text-align: center;"><b>Date</b></p>	<p><b>B. DCHR RECORDS SECTION – REVIEWER</b></p> <p>_____</p> <p style="text-align: center;"><b>Name of Reviewer (Print)</b></p> <p>_____</p> <p style="text-align: center;"><b>Signature of Reviewer</b></p> <p>_____</p> <p style="text-align: center;"><b>Date</b></p>
<b>DCHR OFFICIAL USE ONLY</b>	
<p><b>C. RECORDS SECTION – INVENTORY/AUDIT REVIEW:</b></p> <p>_____</p> <p style="text-align: center;"><b>Name of Reviewer (Print)</b></p> <p>_____</p> <p style="text-align: center;"><b>Signature of Reviewer</b></p> <p>_____</p> <p style="text-align: center;"><b>Date</b></p>	

## Confidential Documents/Forms

Personnel records, documents, or forms of a **sensitive nature** shall be considered “Confidential” and shall not to be filed in an employee’s Official Personnel Folder (OPF). Confidential personnel records/documents/forms are to be placed in a **SEALED ENVELOPE and MAINTAINED SEPARATE AND APART FROM THE OPF.**

The following are examples of records, documents, and forms that are confidential in nature and, as such, SHALL not be filed in the OPF.

CA 1 & 2, Accident Reports	Fingerprint Cards
I-9, Employment Eligibility Verification (Immigration)	Grievance Files and Correspondence*
DCSF-1199, Request for Advance Leave & Leave Without Pay	Incident Reports
DCSF-1199A, Notification of Charge to Absence without Official Leave	ID of Race or Ethnic Group
DCSF-1272, Affidavit of Domestic Partnership-Health Benefits Enrollment	Investigative Materials & Reports
DCSF 22, Personal Reference Questionnaire	Letters of Indebtedness/Garnishment
SF-2801, Retirement Data	Letters of Reference
SF-2802, Retirement Data	Medical Records
SF-2806, Retirement Data	Pre-Employment Inquiries
DCSF 04-06, Pre-Employment Check Form	Reports of Probationary Performance
Appeal Files and Correspondence*	Request for Family/Medical Leave Form and any related forms
Complaints from the Public	Request for Organ/Bone Marrow Donor Leave
Testing & Examination Documents	

**NOTES:**

- Letters of warning, direction, or admonition are neither corrective nor adverse actions and, for that reason, are not filed in the OPF.
- Performance evaluation forms for ratings of *Excellent* and *Satisfactory* (PES) and ratings of *Exceeds Expectations* and *Meets Expectations* (PMP) are removed from the OPF when superseded by a current performance evaluation (at the same rating level).

\*Maintain these documents in a Separate File (SF) in the DCHR.