



U.S. Department of Justice
Federal Bureau of Prisons

PROGRAM STATEMENT

OPI HRD/PDB
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Personnel Records and Files

/s/

Approved: Thomas R. Kane
Acting Director, Federal Bureau of Prisons

1. PURPOSE AND SCOPE

To provide procedures and responsibilities for: the clearance of separating employees, personnel records, and time and attendance reporting.

a. Summary of Changes

Policy Rescinded

P3000.03 Human Resource Management Manual, Sections 293.1, 293.2, 294.1, 600.1

- Added a section on clearance procedures.
- Extensively updated the section Personnel Records and Files.
- Extensively updated the section Time and Attendance Reporting.

b. Program Objectives. The expected results of this program are:

- Outstanding property obligations and financial indebtedness to the BOP will be addressed prior to an employee's separation.
- Communicate the requirements for the establishment, maintenance, and availability of employees' electronic personnel records.
- Communicate the requirements for the processing of time and attendance data.

c. **Institution Supplement.** None required. Should local facilities make any changes outside the required changes in the national policy or establish any additional local procedures to implement the national policy, the local Union may invoke to negotiate procedures or appropriate arrangements.

REFERENCES

Program Statements

1237.16 Information Security (9/27/2016)
3430.09 Performance (7/25/2017)

BOP Forms

BP-A1096 Pre-Exit Clearance Form

ACA Standards

(see Program Statement **Directives Management Manual**, sections 2.5 and 10.3)

- American Correctional Association Standards for Adult Correctional Institutions, 4th Edition: 4-4104.
- American Correctional Association Performance Based Standards for Adult Local Detention Facilities, 4th Edition: 4-ALDF-7D-22.

Records Retention Requirements

Requirements and retention guidance for records and information applicable to this program are available in the Records and Information Disposition Schedule (RIDS) on Sallyport.

Section 1. Clearance Procedures

1. PURPOSE AND SCOPE

To prescribe responsibilities and procedures for the clearance of all outstanding property obligations and financial indebtedness to the BOP prior to an employee's resignation, transfer, retirement, or any other type of separation from the BOP or reassignment to another duty location.

Directives Referenced

5 U.S.C. 5512

DOJ Order 2120.3B

DOJ Order 2400.3

DOJ Order 2710.8C

2. PROCEDURES

Employees departing from a duty station are responsible for identifying, returning, or accounting for all accountable items received from the BOP during the course of their employment, excluding wearable items (e.g., foul weather gear and shoes). The Human Resource Office will ensure a departing employee completes the Pre-Exit Clearance Form (BP-A1096) during the clearance process and certify that all required clearances have been obtained by the employee on or before the last day of duty. Certified Pre-Exit Clearance Forms will be maintained in the local Human Resource Office for 12 months to 3 years (up to 3 years if the employee has an uncollected debt). If the employee does not complete the form, the HRO will document this on the form in the signature block.

Section 2. Personnel Records and Files

1. PURPOSE AND SCOPE

Subject to the provision of this policy and regulations of the Office of Personnel Management (OPM), the following regulations and instructions are for establishment, maintenance, availability, and disposition of the electronic Official Personnel Folder (eOPF) and the Employee Performance File (EPF).

Directives Referenced

5 CFR part 293

5 CFR part 297

Guide to Personnel Recordkeeping

Program Statement **Information Security**

Program Statement **Performance**

2. CUSTODIANS OF PERSONNEL RECORDS

The Consolidated Processing Unit (CPU) at the Human Resource Services Center (HRSC) is responsible for maintaining electronic personnel records for current Bureau of Prisons (BOP) employees. The CPU will also request and merge prior service OPFs for prospective and current employees. The CPU will safeguard these records to prevent their unauthorized disclosure and make determinations as to the propriety of any release of personnel information. Performance record maintenance can be found in the Program Statement **Performance**.

3. LOCATION OF RECORDS

Personnel records for current BOP employees are stored electronically in a secure central repository maintained by OPM.

4. FORWARDING FILES OUTSIDE THE BUREAU OF PRISONS

When an employee moves to another Federal agency, the eOPF must be sent to the gaining agency. In addition, performance records that are four years old or less (five years old or less for SL and SES), eOPFs, and performance records for separated employees must be forwarded to the National Personnel Records Center.

5. EMPLOYEE ACCESS AND AVAILABILITY TO INFORMATION

All employees will be provided electronic access to their Official Personnel and Performance records, which will be made available during work hours at all BOP locations. Upon request, employees, recently separated employees, or designated representatives may receive eOPF documents by contacting the servicing Human Resource Office (HRO) or the CPU. Documents will be provided upon verification of identity or appropriate authorization.

6. RESPONSE TO SUBPOENAS

The servicing HRO will be guided by 5 CFR § 297.402 and the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping in responding to a subpoena for personnel records. All subpoenas will be referred to the Office of General Counsel for guidance.

7. SENSITIVE PERSONNEL INFORMATION

Any document which has an individual's Social Security number is regarded as "Sensitive But Unclassified" (SBU) and must be physically safeguarded against unauthorized use and disclosure. SBU information will be handled in accordance with the Program Statement **Information Security**.

8. USE OF INMATES WITH EMPLOYEE RECORDS

No inmate may have access, maintain, or process any forms or records pertaining to employees. All functions involved in handling employee records must be performed by a civilian employee of the Bureau of Prisons.

9. INFORMATION AVAILABLE TO THE PUBLIC

The following information is in the public domain and may be released without the employee's authorization:

- Name.
- Present title, series, grade, salary, duty station.
- Past titles, series, grades, salaries, duty stations.
- Position description.
- Performance standards (**not** performance rating).

10. RELEASE OF INFORMATION WITH/WITHOUT THE EMPLOYEE’S CONSENT

Information concerning performance, attendance, conduct, or work quality of an employee or former employee may be released with the signed written consent of the employee or former employee. Any information provided must be specific, factual, and well documented by the records. Authorized officials and others who receive inquiries must be careful not to offer unsubstantiated opinion or comments.

The employee’s consent is not required to provide this information when the information is subpoenaed or court-ordered. In addition, applying for a position is implied consent from the employee to release information.

11. RESTRICTED INFORMATION

Information regarding any phase of the pre-employment screening process or background investigations should not be disclosed to anyone except BOP, Department of Justice, or OPM officials involved in making suitability or qualification determinations, or conducting an official investigation. Disclosure of such information within the BOP is restricted to those who need to know the information in order to perform their official duties.

12. RELEASE OF INFORMATION CONCERNING EMPLOYEE TERMINATION

Information concerning former employees who were terminated or removed from their position is particularly sensitive. Release of such information, even with the written consent of the former employee, must be specific, factual, and well supported by the records. Because they have limited appeal rights, and therefore little chance to refute allegations against them, and because the reason for termination is not normally documented in the Official Personnel Folder, the reason for probationary employees’ terminations should not be disclosed outside the Bureau of Prisons, unless required by law.

Occasionally, the Bureau agrees to resolve an adverse action appeal by accepting the employee’s resignation in lieu of removal and agreeing to provide a “neutral” reference to prospective employers. HRO officials responding to requests for information in these cases must be especially mindful of these agreements and ensure that the terms of the agreement are met. HRO officials will direct supervisors and others who may receive inquiries in these cases to refer inquiries to the HRO for response.

13. QUESTIONS AND COMPLAINTS

Employees who believe their personnel records contain inaccurate information should attempt to resolve the discrepancies with their servicing HRO. If the matter is not resolved at that level, it may be referred to the Regional Human Resource Administrator (RHRA) and/or the Chief, HRSC. Requests for correction of records must be handled in accordance with 5 CFR § 297.301.

Complaints or appeals regarding the disclosure or withholding of personnel information may be referred to the Chief, HRSC, or processed under the appropriate grievance procedures.

Section 3. Time and Attendance Reporting

1. PURPOSE AND SCOPE

To outline requirements and responsibilities associated with the National Finance Center's (NFC) Time and Attendance (T&A) reporting for the processing of time and attendance data.

Directives Referenced

DOJ Order 1630.1B

DOJ Time and Attendance Reporting Handbook

NFC Time and Attendance Training Guides

OMB Circular A-123

2. T&A TRANSMISSION TIME FRAMES

T&As should be completed and sent to the NFC by the close of business on the Monday following the pay period.

3. RESPONSIBILITIES

The requirements and responsibilities involved in the proper processing of Time and Attendance reports are defined in the Department of Justice Time and Attendance Reporting Handbook. It is essential that Executive Staff, managers, supervisors, timekeepers/timekeyers, and employees are knowledgeable about their role in the time and attendance process.

a. **Chief Executive Officers.** Chief Executive Officers or their designees must approve, in advance, the granting of overtime and compensatory time. In addition, the Chief Executive Officer (or designee) will delegate the responsibility for T&A reporting.

b. **Supervisors.** Supervisors are responsible for:

- Being aware of existing leave policy and regulations published in DOJ Order 1630.1B, ensuring staff understand leave policy and regulations, and exercising fair and honest enforcement of policy and regulations.
- Designating timekeepers and alternates (typically administrative staff in a department) and notifying the Human Resource Office in writing of any change in timekeepers.
- Providing timekeepers with necessary documentation concerning employees' T&As during the pay period. Supervisors should also ensure documentation pertaining to corrected/amended T&As is submitted to the timekeeper/keyer.
- Ensuring employees do not certify their own T&A records.

- Certifying accurate T&A records for assigned employees and ensuring adequate T&A documentation is maintained to support the entries made.
- Ensuring leave errors are promptly resolved and any adjustments are documented. If necessary, leave audits should be performed when correcting leave discrepancies and must be certified by the supervisor. When leave audits are not conducted, a memorandum signed by the supervisor must be filed in the T&A folder detailing the reason adjustments were made.

c. **Human Resource Manager.** The Human Resource Manager is responsible for:

- Ensuring supervisors, timekeepers, and timekeyers are trained annually in both keying and the recording of time and attendance.
- Ensuring timekeyers do not approve or send their own T&A to NFC (OMB Circular A-123).
- Ensuring T&A data is sent to the NFC each pay period.
- Ensuring appropriate T&A reports are maintained each pay period and verifying the accuracy and completeness of the time and attendance data processed (see Attachment 1).
- Ensuring T&A files are forwarded to the receiving HRO upon employee transfer within the BOP.
- Providing timekeepers with accurate employee, leave, and accounting data.
- Ensuring a representative sample of each department's T&A files is reviewed annually, and appropriate corrective measures are taken to remedy discrepancies. It is recommended the review of T&A files include 10 percent of Wage Grade employees, 10 percent of staff on compressed work schedules, 10 percent of Correctional Services staff, all timekeyers and timekeepers, and 3 percent of random staff in other departments.
- Ensuring adjustments to leave balances are sufficiently documented (e.g., leave audit, memorandum, screen prints) and a clear audit trail exists to explain any adjustments.

d. **Timekeepers and Timekeyers.** Timekeepers and timekeyers are responsible for:

- Accurately recording and keying T&A data for employees assigned to them. This may include recording their own time as well as the time of their immediate supervisors.
- Ensuring leave audits or adjustments are certified by the supervisor. The audit certification and supporting documentation should be maintained in the T&A file. A copy should also be provided to the Human Resource Office.
- Upon request, promptly providing a copy of the signed/certified T&A report to the employee.
- Maintaining a T&A file for each assigned employee. The file should include the certified T&A report and worksheet/daily roster or the top portion of the T&A must be completed. Departments with various tours of duty may use separate duty rosters as documentation. All other supporting documentation (Request for Leave or Approved Absence, OPM-71s, overtime/compensatory time authorizations, etc.) will be maintained in the employees' T&A files. If an employee transfers within the BOP, T&A records should be sent to the Human

Resource Office for forwarding to the new duty location. T&A records for all employees must be maintained for six years (or after a GAO audit, whichever is sooner).

e. **Employees.** Employees are responsible for:

- Providing timekeepers with an OPM-71 or supporting documentation, regardless of the type of leave, or confirming leave taken by initialing the T&A report when an approved OPM-71 is not on file. OPM-71s are required for leave of 5 days or more.
- Reviewing their Statements of Earnings and Leave and reporting any discrepancies to their supervisor, timekeeper, and/or servicing Human Resources Office. Supervisors must ensure employees are aware of their responsibilities.

4. **LEAVE ADJUSTMENT PROCEDURES**

Obvious errors (incorrect keying, late OPM-71 submission, etc.) may be adjusted by a corrected T&A.

If the reason for the discrepancy is not obvious or easily explained, a leave audit must be completed for leave errors identified on the P0152 Leave Error Report.

Leave audits must be signed by the supervisor. The original is filed in the employee's T&A file.

When a leave audit is not necessary, a memorandum to the file must be completed detailing the specific reasons for the errors and what adjustments are required.

When balances are adjusted in the T&A leave data, screen prints before and after the adjustments must be attached to the memorandum or leave audit. A copy of the leave audit and supporting documentation must be forwarded to the Human Resource Office.

When the Human Resource Office receives leave audits that require adjustments to the Time Inquiry-Leave Update system (TINQ), screen prints before and after the adjustments must be attached to the leave audits. This documentation must be filed by pay period with the necessary P0049 Audit Trail of Leave Updated Report and P0152 Leave Error Report, and retained for 26 pay periods.

Minimum Reports Requirements for Human Resource Offices

REPORT NAME	DESCRIPTION	REQ/RCV
<i>Reports To Run Daily During Week 1 of the Pay Period - Maintain Final Report for 26 pay periods</i>		
T&A's Not Received by NFC (CULPRPT - P0013) Report can also be found in the Reporting Center.	Listing of T&As not received at NFC	
Error Analysis For T&A Processing (CULPRPT- P0099) Report can also be found in the Reporting Center.	Listing of missing personnel actions	
Agency Status Report (WebTA)	Current status of T&As for agency which have not been fully processed and received by NFC (must be requested by Master Timekeeper)	
<i>Reports To Be Run During Week 2 of the Pay Period - Maintain for 26 pay periods</i>		
Audit Trail of Leave Updates (CULPRPT - P0049)	Audit trail for TINQ	
Error Analysis by Contact Point (CULPRPT - P0053) Report can also be found in the Reporting Center.	Identifies the reason for each T&A rejected by NFC in error	
Leave Error Report (CULPRPT- P0152) Report can also be found in the Reporting Center.	Identifies all T&A leave discrepancies which must either be corrected in TINQ or in WebTA	
Employees not paid in current PP (DJ1 – MENUHRMS – T&A)	Listing of employees not paid for the pay period - identifies employees who were not paid through the system for current pay period	
<i>Periodic Reports - Maintain for one year</i>		
COMPMNTR - DJ1 Library	Compensatory Time Report – identifies compensatory time earned and is utilized to assist supervisors in planning/scheduling comp. time leave prior to expiration. Report should be run quarterly and distributed to supervisors.	
REPORT NAME	DESCRIPTION	REQ/RCV
<i>Other recommended reports to assist local HRO and Supervisors</i>		
MILLVRPT - BPS	Military leave usage report - should be run in the second week of the pay period which contains October 1. (maintain for one year)	
TOARPT - BPS Library	Time off awards reports	
RESTAL - BPS Library	Restored annual leave balances	
UNIONLOC - BPS Library	Listing of union local codes, BUS codes, and union dues amount deducted per pay period	
RETENCHK - BPS Library	Used to monitor retention allowances	
COMPEXPP - DJ1 Library	Regular comp time and travel comp time balances with selected expiration pay period	
COMPEXPR - DJ1 Library	Regular comp time leave record and expiration date	
COMPEXPT - DJ1 Library	Travel comp time leave record and expiration date	
COMPMNTR - DJ1 Library	Listing of employee's comp time leave record	
COMPRGTA - DJ1 Library	Tracks regular comp time earned and used for a selected pay period or range of pay period	
COMPRLTA - DJ1 Library	Tracks religious comp time earned and used for a selected pay period or range of pay periods	
COMPTRTA - DJ1 Library	Tracks travel comp time earned and used for a selected pay period or range of pay periods	
GRADERET - BPS Library	Listing of employees on retained grade with former grade and occupied grade	
SUPVDIFF - BPS Library	Listing of employees receiving a Supervisory Pay Differential	
PCAPLIST – BPS Library	Listing of employees receiving a PCAP in 0602 series	
PCAPOTHR – BPS Library	Listing of employees receiving a PCAP not in 0602 series	
CULPRPT - P0129	Listing of employees on Grade Retention (includes expiration date)	
Expiration of Limited Appointments	Run for current pay period in the Remote Forms Queuing System, (RFQS)>Notification Listings Menu.	

PART I. REQUEST FOR CLEARANCE (to be completed by Human Resource Manager or designee):

Initiate this form 5 days prior to an employee's separation. Advise the separating employee on local procedures for the clearance process. Ensure the employee signs this form in Part III. The form must be forwarded to the Human Resource Department before the employee separates. Attach a copy of the employee's SF-52 along with this form.

1. Name:	2. SSN:	3. Facility/Division:
4. Position Title/Grade:	5. Forwarding Address:	

6. Type of Separation:

☐ Leaving BOP or Federal Government☐ Reassigning to another DOJ Component (name the component)☐ Transfer to other Federal Agency (name the Agency)_____☐ Retirement ☐ Deceased ☐ Other

7. Separation Date: _____

8. Leave Record (A copy must be attached to this form)

Are there any discrepancies between the T & A Report and the payroll database? ☐ Yes☐ No

Note: For unresolved discrepancies requiring a change to the employee's database record, the leave correction memo must also be attached.

9. Service Agreement: (A copy must be attached to this form if applicable.) Did the employee fulfill his/her service agreement?

☐ Yes ☐ No

Name of HRM or designee:		
Signature of the HRM or designee:	Date:	Telephone Number:

PART II. ADMINISTRATIVE CLEARANCE:

Indicate clearance of accountable items by signing your name, telephone number, and date. If there are any accountable items missing, please submit an explanation along with this form, of the reasons why any accountable item was not accounted for or not returned. If any item on the list below is not applicable to the employee, please print 'NA' and sign in the appropriate column.

ITEM:	CLEARED BY: (Name, Title, Phone):	SIGNATURE:	DATE:
Property Officer			
1. U.S. Government Property (including all Govt. property assigned to the employee and at the employee's residence; e.g., computer, fax machines, printers, BlackBerrys, PDAs, cellular telephones, radios, tokens, fobs, etc.)			
Business Administrator			
2. Government Purchase Card, Travel Charge Card, Fleet Charge Card, Phone calling cards			
3. Travel Obligations, Travel Advances			
4. Training Obligations (CME)			
5. Parking Permits, Unused Transit Subsidies			
Lockshop/Armory/Facilities Management			
6. U.S. Government Property (Firearms, Ammunition, Vehicles, Stab Resistant Vests)			
7. Identify Telephone Password, Combination to the Safe			
8. Keys: Access, Kastle, Master, Office, Workstation, File, Storage, Cipher, Desk, Vehicle/Aircraft			
Human Resource Management			
9. Salary/Leave Indebtedness			
10. Official ID/Govt. Passports, Building Pass, Credentials and Badges			
11. Request & Non-Disclosure Agreement (Records, Work Documents) Privacy Act Guidance for Departing Employees (if applicable)			
12. Retention Incentive Discontinued (if applicable)			

IT Department			
13. Termination of access to the Network			
14. Security Debriefing performed			
15. Miscellaneous			

PART III. EMPLOYEE CERTIFICATION

To avoid delays in final salary payments, this form must be completed and returned to your Human Resources Manager/ Department before you separate. You must clear every item applicable to you and sign the Employee Certification below.

I certify that I have no Government property, firearms, computer equipment, software/hardware, keys, ID badge, or records or official documents, including classified material issued or furnished by the Bureau of Prisons without written approval from the approving official.

I certify that all the information I have provided in this pre-exit clearance form is true, complete, and correct to the best of my knowledge.

Signature of the Employee:	Date:	Telephone Number:
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PART IV. HUMAN RESOURCE MANAGER CERTIFICATION:

☐ I certify that all required levels of clearance have been obtained for the above-named employee who is being reassigned within the DOJ.

☐ I certify that all required levels of clearance have been obtained for the above-named employee who is separating from the BOP; and that his/her final salary and lump-sum check(s) may be released.

☐ I certify that all required levels of clearance have not been obtained for the above-named employee, who is separating from the BOP. This matter has been referred to the appropriate administrative finance officer for recovery action pursuant to 5 U.S.C. 5512.

Signature:	Date:
Name & Title:	Institution/Location: