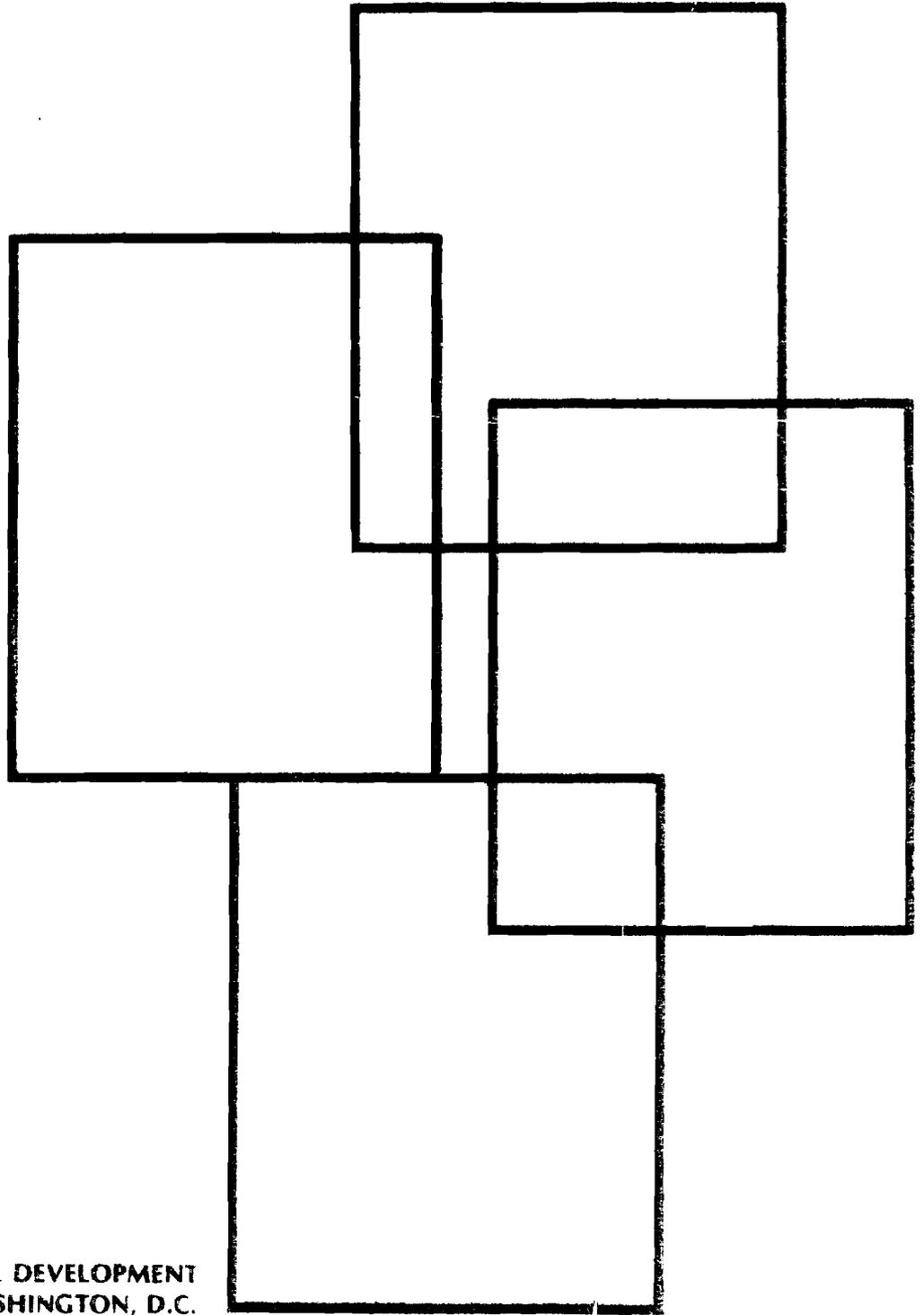


Personnel Actions, Records and Reports



AGENCY for INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C.

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK 32

PERSONNEL ACTIONS, RECORDS
AND REPORTS

TM 32:1
April 15, 1975

N O T E

Throughout this Handbook, masculine pronouns are to be interpreted as including both men and women, unless the context specifically excludes this interpretation.

Future revisions will take into account the AID directive (HB 18, Part I, 2E) of 12/30/75 on the avoidance of sex-biased language.

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE March 29, 1990	TRANS. MEMO NO. 32:26
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MATERIAL TRANSMITTED:

Handbook 32 - Personnel Actions, Records and Reports

Page TC-3 of the Table of Contents has been revised to reflect the addition of Chapter 5. Chapter 5 - Foreign Service Residency/Travel Forms is a new chapter.

SUPERSEDES:

Page TC-3 of the Table of Contents (TM 32:19).

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 32:26.

* * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 32:26 in the front of the handbook binder; discard TM sheet 32:25.

* * * * *

Address questions about this Handbook to PFM/PM/PCF.

For additional copies of this Transmittal contact MS/IRM/PE.

CHECKLIST FOR HANDBOOK 32
PERSONNEL ACTIONS, RECORDS, AND REPORTS

AUTHOR OFFICE: PFM/PM/PCF

<u>DATE</u>	<u>MATERIAL TRANSMITTED</u>	<u>TM NO.</u>
6-18-86	Pages 1A-1 thru 1A-4 of Att. 1A, Ch. 1	32:20
Aug.'86	New Handbook Index	32:21
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2-14-89	Supplement 1B of Chapter 1	32:23
6-27-89	Exhibit 1B-1	32:24
Various	Reissuance in its entirety	32:25
3-28-90	Page TC-3 and Chapter 5	32:26

PREFACE

Early in 1972 the Agency made the decision to convert the AID manual orders to a series of specialized handbooks. In compliance, SER/PM has developed new personnel handbooks to replace existing personnel manual orders. The objectives have been:

- To condense and simplify directive material.
- To place, to the extent practicable, all information and instructions of general Agency-wide utility on a given subject in one location.
- To highlight principal personnel policies, rules, and regulations.

The personnel handbooks include those rules, regulations, and operating procedures which affect more than one Office, Bureau, or Mission. They also incorporate pertinent Uniform State/AID/USIA Regulations and portions of the Federal Personnel Manual. They do not include detailed background information, functional statements, or internal personnel office procedures, unless this information is essential to users generally.

There are ten volumes:

- Handbook 24, General Personnel Policy
- Handbook 25, Employment and Promotion
- Handbook 26, Position Classification, Pay, and Allowances
- Handbook 27, Attendance and Leave
- Handbook 28, Training and Staff Development
- Handbook 29, Employee Relations and Benefits
- Handbook 30, Separation and Disciplinary Actions
- Handbook 31, Foreign National Personnel
- Handbook 32, Personnel Actions, Records, and Reports
- Handbook 33, Overseas Position Management
(Existing handbook, formerly an attachment to M.C. 435.4, designated as an AID Handbook)

Each handbook is organized into chapters dealing with a topic within the general subject area indicated by the title. A table of contents is included in each handbook. The Transmittal Memorandum for each handbook will indicate which manual orders and manual circulars it supersedes; concurrently, cancellation notices are distributed to all holders of manual orders.

Personnel Handbooks will not all be distributed at once. Accordingly, there will be an interim period where both manual orders and handbooks in the personnel area will be in Agency-wide use. Manual orders and manual circulars will remain in effect until they are specifically superseded by a handbook and canceled by a Manual Transmittal Letter.

Supervisors, employees, and administrative/executive officers should use the handbooks for general guidance in all matters of personnel to which they pertain. For unusual problems or counseling needs, the appropriate office in SER/PM should be contacted.

HANDBOOK 32

PERSONNEL ACTIONS, RECORDS AND REPORTS

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**CHAPTER 1 - Official Personnel
Files and Records**

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CHAPTER 1

OFFICIAL PERSONNEL FILES AND RECORDS

1A. Purpose

This chapter provides the regulations and procedures which govern the establishment, maintenance, and use of official personnel files and records maintained by the Office of Personnel Management (M/PM) and various offices throughout the Agency. All official personnel files and records are maintained in accordance with applicable laws; implementing regulations issued by the U.S. Office of Personnel Management (OPM), the General Services Administration (GSA) or other responsible U.S. Government Agency; and AID-specific procedures. Information concerning the contents of the Official Personnel Folder (OPF) is contained in Supplement 1A to this chapter. Information on the preparation and submission of Residence and Dependency Statements, form AID 490-2, and Arrival and Departure Notices is contained in Supplements 1B and 1C respectively. For information concerning the retention and disposition of personnel files and records, the user should consult HB 21, Part III, Records Filing and Disposition Manual.

1B. Scope

This chapter applies to the official personnel files and records of all AID direct-hire employees. Such files include:

1. The Official Personnel Folder (OPF), which consists of two separate files -- an administrative file and an evaluation file (see Supplement 1A to this chapter); and,
2. Other official personnel files and records, e.g., medical and payroll records, which are maintained by various offices throughout the Agency, e.g., the Office of Financial Management (M/FM), and the Office of the General Counsel (GC) (see section 1G below).

1C. Authorities

1. Foreign Service Act of 1980 (22 U.S.C. 3901 et seq.)
2. Foreign Assistance Act of 1961, as amended (22 U.S.C. 2151, et seq.)
3. Federal Records Act of 1950, as amended (44 U.S.C. 3101, et seq.)
4. Privacy Act of 1974 (5 U.S.C. 552a)
5. Implementing regulations issued by OPM, GSA or other responsible Agency of the U.S. Government.

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1D. Responsibilities

1. Communications and Records Management Division (M/SER/MO/CRM)

M/SER/MO/CRM is responsible for the AID worldwide records management program, which includes coordinating the development of records management systems and monitoring the implementation thereof to ensure compliance with the Federal Records Act of 1950, as amended, and implementing regulations issued by OPM and GSA, as applicable.

2. Director, Office of Personnel Management (M/PM/OD)

The Director, M/PM/OD, is authorized to exercise custody over, and to provide for the control and maintenance of, the OPFs of all AID employees (see HB 5, Delegations of Authority, delegation number 27.3). The Chief of the Administrative Staff for M/PM (M/PM/ADM), and the heads of AID's overseas units are delegated functional responsibility as described in 1D4 and 1D5 below.

3. Civil Service Personnel Division (M/PM/CSP), Foreign Service Personnel Division (M/PM/FSP), Executive Personnel Management Staff (M/PM/EPM)

In conjunction with the Personnel Records Center staff, M/PM/CSP, M/PM/FSP and M/PM/EPM, as appropriate, are responsible for: (a) establishing the OPFs, which are used for personnel and pay purposes, for all AID direct-hire personnel, except as noted in 1D5 below; (b) updating the OPFs for which they are responsible by inserting, in accordance with established procedures, authorized documentation which their respective offices have initiated, or has been forwarded to them; and (c) removing documents which are inappropriately placed in a file or which have prescribed time limitations, e.g., Letter of Reprimand or other disciplinary action upon expiration of the required retention period (see also 1E4 below).

4. Chief, M/PM/ADM

The Chief, M/PM/ADM, is responsible for the operation of the AID Personnel Records Center (PRC), which serves as the official repository for the OPFs of all AID direct-hire employees, except as noted in 1D5 below, during their service with AID. The duties of the PRC staff include, but are not limited to:

a. Updating OPFs by inserting authorized documentation, which has been forwarded by other AID offices, in accordance with guidelines set forth in Agency regulations or in the Federal Personnel Manual (FPM).

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(1D4)

b. Establishing and maintaining a control system for the custody of records and documentation of the "charge out" and return of files by authorized Agency personnel.

c. When employees separate from Federal service, transferring the administrative portion of the OPF to the National Personnel Records Center in St. Louis, Missouri; and transfers the evaluation portion of the OPF to the Washington National Records Center, GSA, Suitland, Maryland, in accordance with established procedures.

d. When an employee transfers to another Federal agency, transferring administrative portion of the employee's OPF to the gaining agency in accordance with established procedures.

5. Heads of AID Overseas Units

The heads of overseas units; e.g., AID Representatives, Mission Directors, or their designees, are responsible for the establishment, maintenance and disposition of the OPFs of foreign national employees and American Family Members appointed in their respective countries, in accordance with applicable laws, Federal regulations and AID procedures. The OPFs of Resident Hire personnel are established and maintained in AID/W by M/PM/FSP.

6. Employees

a. Employees are responsible for periodically updating their Application for Federal Employment, SF-171, and submitting it to their Placement Officer in M/PM for inclusion in their OPF. Employees also should forward certificates of training, whether government-sponsored or privately obtained, or other documents relevant to their career in the Federal Government, to their Placement Officer for inclusion, as appropriate, in the their OPF.

b. Employees are strongly encouraged to periodically review their OPF. Such reviews must be scheduled through the employee's Placement Officer in M/PM.

c. Employees are encouraged to establish a personal file which documents their Federal service. The file would include such records as: copies of official personnel actions, approved training requests or certificates of training, copies of travel authorizations and travel vouchers, and periodic evaluation reports. Maintaining such a file will enable employees, during the periodic review of their OPF, to certify that their OPF is accurate and complete. Employees may not maintain their personal files within an office file station.

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1E. OPFs - AID/W Procedures

1. Custody and Security of Personnel Folders

When folders are removed from the Personnel Records Center, they may not be left unattended or exposed to unauthorized persons; they must be filed in alphabetical order and secured in locked steel cabinets when not in use. All personnel folders must be stored in designated security cabinets or returned to the Personnel Records Center by the close of business each day. The contents of folders may not be revealed except as necessary in the conduct of official business. (See also HB 18, Part III, Ch. 12, Access to and Protection of Records on Individuals - Privacy Act 1974.)

2. Access to Personnel Folders

The following personnel are permitted access to personnel folders and are responsible for the security and condition of the folders charged to them:

a. M/PM Personnel. The Personnel Records Center staff maintains a list of M/PM personnel permitted access to personnel folders. Other M/PM employees are permitted access only in connection with their official duties.

b. Civil Service Merit Promotion Panels, Foreign Service Assignment Boards, Evaluation/Qualification/Technical Panels and Selection Boards. Panel/Board members are permitted access to evaluation files in connection with their official duties.

c. The Office of the Inspector General (IG) Personnel. IG staff is permitted access to personnel files in connection with its official duties.

d. The Office of Equal Opportunity Programs (EOP) Personnel. EOP staff is permitted access to personnel folders in connection with its official duties.

e. Other AID/W Employees. Other AID/W employees may be permitted access to personnel folders only in connection with their official duties. Approval must be obtained from the Placement Officer responsible for the personnel support of the employee whose file is being requested. (See also 1E3 below.)

f. Employees or Their Representative. Employees or their representative(s), designated in writing, are permitted access to the employee's OPF in the presence of the employee's Placement Officer, or designee.

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(1E2)

g. Officials Outside AID

(1) An Accounting for Disclosure Record, form AID 490-4, must be completed by all non-AID personnel, except those individuals indicated in (3), (4) and (5) below, upon completion of their review of a personnel file. When files are reviewed in the presence of an M/PM Placement Officer, the completed forms should be forwarded to the Personnel Records Center.

(2) Upon presentation of appropriate identification and justification, representatives or officials of other Federal agencies may review personnel folders on the premises with the approval, and in the presence, of the employee's Placement Officer, or designee.

(3) Investigators, e.g., OPM, IG, or state or local investigative personnel, are permitted access to personnel folders upon presentation of appropriate identification to the Personnel Records Center staff.

(4) Under a formal agreement between AID and the Department of State (or, if applicable, other Foreign Affairs agencies), the personnel folders of their employees may be mutually exchanged and reviewed in connection with the hiring or detailing of employees. Arrangements are made through the respective personnel offices.

(5) If personnel folders are requested by Court Order, the request is forwarded to AID's Office of the General Counsel (GC) for review and, as appropriate, approval for examination.

3. Procedures for AID Bureau/Office Officials

a. Access to evaluation files by Bureau/Office officials may be permitted: (1) in connection with their official duties, subject to M/PM approval, or (2) when employees are being considered for assignment within the requesting Bureau/Office organization.

b. The following officials may be permitted access to evaluation files:

(1) In Connection with Overseas Assignments: Assistant or Deputy Assistant Administrator; principal or deputy Executive Management (EMS) or Administrative Officer; Desk Officer; principal Bureau/Office technical backstop officer; Head, Deputy, or other principal officer, designated in writing, of an AID overseas unit while in AID/W.

(2) In Connection with AID/W Assignments: Principal EMS or Administrative Officer or supervisor of unit having a relevant vacancy.

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(1E3b)

(3) Other Than Assignment Actions: Principal EMS or Administrative Officer or Chief of the AID/W office which provides technical backstopping functions.

c. Requests for files by the officials indicated in 1E3b above must be forwarded directly to the appropriate Placement Officer in M/PM when the files will be reviewed on site in M/PM. Requests must be forwarded to the appropriate M/PM Placement Officer through the requestor's EMS/Administrative Officer when the files will be reviewed in the requestor's office. The following information must be provided to the appropriate Placement Officer: (a) position(s) to be filled and the position number(s), if known; (b) location of position(s); (c) certification that the position is a continuing position and whether it is presently vacant or occupied (if the latter, indicate when replacement is required); and (d) a statement of need if the request is not in relation to an assignment. Requests must be received in M/PM one day, and preferably two days, in advance of the date the files are actually required.

d. Generally, when an assignment is involved, M/PM will not release the files of employees who do not qualify for the position specified, or who are not or will not be available for assignment to the position. Based on M/PM's knowledge of the employment situation or Assignment Board actions, M/PM may refer the files of qualified employees to client offices.

e. The following security measures must be adhered to when files are forwarded to and in the custody of Bureaus/Offices (see also 1E1 above):

(1) Files must be picked up from and returned to M/PM by the requesting office, i.e., hand-carried. The files must be placed in a sealed envelope, addressed as follows: "Name, Office Symbol, Room Number; and marked, "PERSONAL INFORMATION -- FOR ADDRESSEE ONLY." Files may never be sent through the mail.

(2) Bureaus/Offices will establish internal procedures for the control of files in their custody and will ensure that files are not accessible to unauthorized personnel.

(3) Files must be returned to M/PM within five workdays after receipt. Extension(s) may be granted by M/PM, but must be requested prior to the expiration of the five-day period. Failure to return files, or to obtain an extension, within the designated time frame may result in a disciplinary action.

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4. Altering Contents of Personnel Folders

a. Only those individuals specifically authorized in this chapter to establish or maintain OPFs may alter, amend, or delete the contents of personnel folders without the prior approval of the Chief, M/PM/ADM.

b. Material in OPFs may be removed or altered in compliance with a grievance decision, a Privacy Act request, an Equal Opportunity decision, an appeal decision, or by settlement of these actions; or by Court Order. Employees may request in writing to the Chief, M/PM/ADM, to alter, amend, or delete contested documents in their folders. The final decision concerning the disposition of contested material is made by the Chief, M/PM/ADM, in conjunction with other Agency officials, as appropriate. In the case of requests made under the Privacy Act, the Agency Privacy Act Officer makes the final decision in consultation with the Office of the General Counsel. Official personnel documents required by law or regulation may not be removed or altered. Errors or omissions are corrected by the issuance of an appropriate corrective action. (See also 1D3.)

5. Disposition of Official Personnel and Evaluation Files

When employees terminate Federal service, the administrative portion of their OPFs are placed in an inactive status for a prescribed period of time. At the same time, the appropriate personnel office removes from the evaluation portion of the OPFs all documents designated by OPM to be "permanent records," and places such records in the administrative files. Documents designated by OPM to be "temporary records" are removed from the administrative files by the Personnel Records Center staff in accordance with applicable regulations. Following the prescribed retention period, the administrative files are transferred to the National Personnel Records Center in St. Louis, Missouri and the evaluation files are sent to the Washington National Records Center in Suitland, Maryland. Evaluation files are destroyed five years after receipt by the Washington National Records Center.

1F. Official Personnel Folders - Overseas Procedures

1. American Family Members in FSN/AFM Designated Positions

a. OPFs are established and maintained at post in accordance with joint State/AID/USIA regulations (3 FAM 122.8) and contain both administrative and evaluation material (see Supplement 1A).

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(1F1)

b. Not more than two years following an employee's departure from post, the post will transfer the OPF directly to the National Personnel Records Center in St. Louis, Missouri. Folders must be screened prior to transfer to ensure that service record (permanent) documents which may have been mistakenly filed on the left side of a folder are not destroyed. Instructions concerning the disposition of the OPF are contained in HB 21.

2. Direct-Hire Foreign National Employees

a. General

OPFs for Foreign Service National (FSN) and Third Country National (TCN) employees are established and maintained at the post of appointment in accordance with the guidelines set forth in Agency regulations and in 3 FAM 090. The OPFs contain both administrative and evaluation material.

b. Preparation of Folders

Only Official Personnel Folders, form SF-66, should be used when establishing personnel files. Information concerning the documents maintained in the OPF is included in Supplement 1A to this chapter. The file identification label is prepared as follows: (1) print or type the employee's name (last name, first, middle initial) on the upper left side of the label; (2) print the letters "FNO" directly under the employee's name; (3) enter the employee's date of birth on the upper right side of the label.

c. Disposition of Folders - Foreign National Employees

(1) General

At least once each calendar year, the OPFs of separated employees are transferred to the Department of State, PER/MGT/RMR in accordance with the procedures outlined in HB 21 and 3 FAM 090. Each folder must be screened prior to transfer to ensure that service record (permanent) documents which may have been mistakenly filed on the left side are not destroyed. The date of separation should be entered on the file identification label. A memorandum which provides each employee's name, date of birth and date of separation must be included with the files being transferred. A copy of the memorandum is sent at the same time to M/PM/FSP.

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(2) Disposition of Files Upon Transfer

When a foreign national employee transfers to another post, the OPF is sent in a sealed double envelope addressed to the administrative officer at the gaining post and marked "ADDRESSEE ONLY." The employee's leave records for the current and preceding leave year are sent with the OPF. Temporary documents are removed from the OPF prior to transfer to the gaining post.

(3) Preparation and Disposition of Files Upon Separation

(a) The OPFs of separated employees, except as noted below, are placed in an inactive file for one year, at which time they are sent to State/PER/MGT/RMR (see 1F2c(1) above).

(b) If a foreign national employee is retired on disability determined by OPM not to be permanent, retain the file at post until the annuitant reaches age 60 or disability annuity is discontinued, whichever is earlier, then retire the file to State/PER/MGT/RMR (see 1F2c(1) above) provided three years have elapsed since the employee's retirement.

(c) Folders of deceased foreign national employees should be retained for a period which will allow an employee's relatives sufficient time to contact the post. The period of time allowed for such contact is determined by the post. Following this period, the folders should be transferred in the same manner as described in 1F2c(1) above.

1G. Other Official Personnel Records

1. Medical Records

The medical records of AID Foreign Service members are maintained by the Department of State, Office of Medical Services (M/MED) and a copy of the medical abstract is filed in the employee's administrative file. Normally, no medical records are maintained in the administrative files of Civil Service employees. However, in some older files, medical information is contained in a sealed envelope inserted on the right side of the file under the permanent records.

2. Leave Accounts and Records

Official attendance and leave records are maintained by the Employee Services Division, Office of Financial Management (M/FM/ESD) in accordance with General Accounting Office regulations and HB 19, Financial Management.

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3. Payroll Records

Official payroll records are maintained by M/FM/ESD in accordance with General Accounting Office regulations and HB 19.

4. Executive Personnel Financial Disclosure Report

Certain senior level employees must file initial, annual and termination reports on SF-278, Executive Personnel Financial Disclosure Report. For information on who must file and the filing procedures, the user should consult HB 24, Ch. 2, Employee Responsibilities, Conduct and Political Activity. Reports filed by Presidential appointees to positions requiring the advice and consent of the Senate are retained in the Office of Government Ethics, U.S. OPM and a copy is retained in AID's Office of the General Counsel (GC). Reports from all other employees are retained in GC.

5. Statement of Employment and Financial Interests

Certain senior and mid-level employees are required to submit initial and annual/extension supplementary Confidential Statements of Employment and Financial Interests. For information on who must file and the filing procedures, see HB 24, Chapter 2. Reports are retained in GC.

6. Handicap Data

All employees are required to complete form SF-256, Self-Identification of Reportable Handicap, as part of their initial processing into the Agency. The completed form is submitted to the employee's Placement Officer in M/PM. Following input of this data into the Revised Automated Manpower and Personnel System (RAMPS), the form is destroyed. This information is used for statistical purposes only by AID's Office of Equal Opportunity Programs (EOP) in preparing reports required by OPM regulations. Employees who wish to verify or change their code should submit a written request, which includes their Social Security Number, to the Resources Planning Staff, M/PM/RP, AID/W.

7. Race and National Origin Identification Codes

All employees are requested to complete form SF-181, Race and National Origin Identification, as part of their initial processing into the Agency. The form is submitted to EOP through the employee's Placement Officer in M/PM. This information is used for statistical purposes only by EOP in preparing reports required by OPM regulations. Employees who wish to verify or change their code should submit a written request to the Director, EOP, AID/W.

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8. Foreign Service Retirement Files

M/PM/FSP maintains retirement files of, and counsels, AID Foreign Service members regarding retirement matters in accordance with HB 30, Chapter 3, Foreign Service Retirement and Disability System.

9. Employee Appeal and Grievance Records

The Labor-Management Relations Staff, M/PM/LMR, maintains employee grievance/appeal records in accordance with HB 29, Employee Relations and Benefits, and HB 30, Separations and Disciplinary Actions.

10. Employee Locator Records and Related Services

a. The following information may be released, either in writing or by telephone, without regard to the provisions of the Privacy Act: employee's name, grade, salary, official work address, and present and past job/position titles.

b. The Personnel Records Center staff, M/PM/ADM, provides information on the current location of AID direct-hire employees and responds to requests for employment verification in accordance with established procedures. When employees are required to obtain written employment and/or salary verification by a private concern, e.g., mortgage company or financial institution, the form provided by the company should be forwarded to the Personnel Records Center.

c. M/PM/CSP maintains the AID/W Emergency Locator Card, form AID 450-1, file for all Civil Service employees and for Foreign Service members stationed in the United States. Members should complete and forward a revised form to M/PM/CSP whenever there is a change in office, home address, or change in the person (or address of the person) to be contacted in an emergency in accordance with the procedures outlined in HB 29, Ch. 2, Special Assistance to Employees/Beneficiaries.

c. M/PM/FSP maintains the Foreign Service Emergency Locator Information, form OF 190, file for all Foreign Service employees stationed outside the United States. Employees should complete and forward a revised form in accordance with the procedures outlined in HB 29, Ch. 2.

11. Records of Performance Rating Boards of Review

M/PM/LMR maintains the records of performance appraisal appeals of Civil Service employees heard by a Board of Review or the Agency's grievance procedures, and determines whether such records are complete.

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12. Civil Service Merit Promotion Records

M/PM/CSP maintains for a minimum of two years, a temporary record of each position processed under competitive procedures.

13. Reduction-in-Force (RIF) Records

M/PM/CSP maintains retention records and registers, and employment priorities of Civil Service employees according to the provisions of HB 30. RIF records for Foreign Service members are established by M/PM/FSP in accordance with HB 30 as the need arises.

14. Official Records Maintained on Career Development and Evaluation

The records listed below are maintained by the Career Development and Evaluation Branch of M/PM's Foreign Service Personnel Division. Inquiries concerning these records should be addressed to the Chief, M/PM/FSP/CDE.

a. Selection Boards (formerly Evaluation or Promotion Panels).

The official files of the Foreign Service Selection Boards are maintained in accordance with HB 21. These files include, but are not limited to, reports to the Director, M/PM, from each Board (Panel); lists of members recommended for promotion; alphabetical lists of members whose performance is "satisfactory or better;" and lists of members: (1) low ranked, (2) referred to a Performance Standards Board, (3) recommended for Meritorious Step Increases, or (4) recommended for career counseling.

b. Performance Standards Boards (PSBs).

The official files of the Performance Standards Boards (PSBs) have been maintained since 1982, when PSBs were established in conformance with the Foreign Service Act of 1980. These files include, but are not limited to, reports from each Board to the Director, M/PM, and lists of members: (1) selected by random sample to establish standards of performance for a class, (2) determined to meet the performance standards of the class, (3) determined not to meet the performance standards of the class, and (4) recommended for mandatory retirement based on relative performance.

c. Tenure Boards.

The official files of the Tenure Boards include, but are not limited to, reports from the Board to the Director, M/PM, and lists of members: (1) recommended for tenure, (2) recommended for deferred tenure, and (3) recommended for termination. The files of the Senior Tenure Board (for tenuring of career candidates above the FS-01 level) are maintained in M/PM/EPM.

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d. International Development Intern (IDI) Review Panels.

The official IDI Review Panel files include, but are not limited to, lists of IDIs: (1) eligible for promotion, (2) recommended for promotion, (3) not recommended for promotion, and (4) recommended for termination.

e. Selection Board Report

Selection Board Reports, form AID 4-153, are prepared by the Selection Board in accordance with HB 25, Ch. 10, Performance Evaluation and Rating Program - Foreign Service Personnel. The original is sent to the employee concerned and a duplicate maintained by M/PM/FSP/CDE for record purposes only. No other distribution of this form is made.

- Supplement 1A - Contents of the Official Personnel Folder
 - Part I. - Contents of the Administrative File --
Civil Service and Foreign Service Employees
 - Part II. - Contents of the Evaluation File --
Civil Service and Foreign Service Employees
 - Part III. - Contents of the Official Personnel Folder --
American Family Member and Foreign National Employees
- Supplement 1B - Residence and Dependency Statement
- Supplement 1C - Arrival and Departure Notices

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CONTENTS OF THE OFFICIAL PERSONNEL FOLDER

The Official Personnel Folder (OPF) is the official repository of the records and reports of personnel actions effected during an employee's Federal service and the documents and papers required in connection with these actions. The OPF consists of two separate files -- an administrative file and an evaluation file. During the period of an employee's service, permanent records which affect the employee's status and service are filed on the right side of the administrative file; temporary records are filed on the left side; and performance-related materials are maintained in an evaluation file. The contents of the administrative and evaluation files of Civil Service and Foreign Service employees of AID are described in Part I and Part II of this supplement respectively. The contents of the Official Personnel Folders of American Family Member and Foreign Service and Third Country National employees of AID are described in Part III of this supplement.

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**Part I. Contents of the Administrative File -
Civil Service and Foreign Service Employees**

The following is a partial list of the documents which are maintained in the administrative file, and a list of documents which may never be filed in the Official Personnel File. A complete list of documents is contained in the Federal Personnel Manual, Supplement 293-31.

- AID 6-85, Foreign Residence Data
- AID-189, Classified Information Nondisclosure Agreement
- AID 4-312, Overseas Return Certificate (FS employees)
- AID 490-2, Residence and Dependence Statement (FS employees)

- OPM Form 813, Request for Verification of Military Service or other documents showing dates of military service
- CSC-1267A, Supplemental Federal Application Statement
- Pre-Appointment Certification Statement for Selective Service Registration

- SF-15, Application for 10-point Veteran Preference (or equivalent)
- SF-50 (or equivalent), Notification of Personnel Action
- SF-52 (or equivalent), Request for Personnel Action, when used as an appointment document in lieu of an SF-50
- SF-61, Appointment Affidavits
- SF-61-B, Declaration of Appointee
- SF-84, Data for Nonsensitive or Noncritical-Sensitive Position
- SF-86, Security Investigation Data for Sensitive Position
- SF-144, Statement of Prior Federal Service
- SF-171 (or equivalent), Application for Federal Employment (formerly called the Personal Qualifications Statement)
- SF-182 (or equivalent), Application for Training
- SF-1152, Designation of Beneficiary--Unpaid Compensation of Deceased Civilian Employee
- SF-2809, Health Benefits Registration Form
- SF-2810, Notice of Change in Health Benefits Enrollment
- SF-2817, Life Insurance Election
- SF-2823, Designation of Beneficiary - FEGLI Program

- JF-33, Designation of Beneficiary - Foreign Service Retirement and Disability System

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- Certification of Approval of Employment by School Authorities
- Conditions of Employment
- Letter or statement signed by appropriate authority showing proof of satisfactory Peace Corps/ACTION service
- Medical Abstract (FS employees)
- Memorandum - Review of Agency Occupational Specialty Codes (AOSC)
- Employment Certificate - Consultants and Experts
- Statements of Duties and Responsibilities of expert and consultant positions which were prepared to show that the job actually requires the services of an expert or consultant
- Travel Agreement (Civil Service Employees)

Records Which May Never be Placed in the OPF

- Pre-employment inquiries, including telephone inquiries
- Investigative records or reports except the SF-85 and 86, and notices of security clearance
- Fingerprint Cards
- Letters of indebtedness
- Grievance files
- Appeal files
- CA-1 and CA 1 and 2 (if claim filed with Department of Labor)
- Letters of reference or recommendation
- Complaint correspondence from a member of the public
- Records or correspondence regarding an employee's claim for compensation from the Office of Worker's Compensation Program for a job-related disease or injury
- Report of Probationary Performance
- Appraisals of Potential
- Medical dispensary or health unit records
- Testing and examining material (answer keys, test booklets)
- Retirement data (SF-2802, correspondence dealing with repayment into Civil Service Retirement system or refund of retirement deduction)
- SF-181, Race and National Origin Identification, or other identification of an employee's race or ethnicity
- SF-256, Self-Identification of Reportable Handicap.

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Part II. Contents of the Evaluation File - Civil Service and Foreign Service Employees

An evaluation file is established for each employee as a part of the employee's Official Personnel Folder. Within AID, evaluation files are referred to as "Employee Performance Files" (EPFs) for Civil Service employees and as "Performance Evaluation Files" (PEFs) for Foreign Service members. The documents listed below are maintained in evaluation files. Some of the records in an evaluation file are permanent records and, upon an employee's separation from Federal service, will be removed from the evaluation file and placed in the employee's administrative file (see Part I of this supplement). Temporary records maintained in the evaluation file are retained for a prescribed period of time and then are destroyed. For information concerning the retention and disposition of records, the user should consult HB 21.

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Contents of the Employee Performance File - Civil Service Employees

Left Side of Folder

Application for Federal Employment, SF-171
Employee Biodata Report (from RAMPS)
Performance Evaluation File Check Sheet
Training Applications
Training Reports
Awards
Official Letters of Commendation
Letters of Reprimand
Record of Security Violation

Right Side of Folder

Performance Appraisal and Merit
Pay Forms, AID 410-11

Contents of the Performance Evaluation File - Foreign Service Members

Position

Document

1	Completion of Assignment Reports (form AID 4-253) Application for Federal Employment (SF-171) (formerly called Personal Qualifications Statement)
2	Employee Biodata Report (from RAMPS)
3	Performance Evaluation File Check Sheet
4	Employee Evaluation Reports
5	Training Applications Training Reports
6	Awards Official Letters of Commendation Letters of Reprimand Record of Security Violation

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Part III. Contents of the Official Personnel Folder-- American Family Members and Foreign National Employees

The Official Personnel Folder (OPF) contains all the records documenting the service and status of American Family Member and Foreign National employees of AID, i.e., both administrative and evaluation materials. The OPFs of American Family Members may contain any of the documents listed in Parts I and II of this supplement in addition to those shown below. The records listed below are maintained for Foreign Service National (FSN) and Third Country National (TCN) employees, in accordance with 3 FAM 090 and Agency regulations.

Permanent Records

The documents listed below affect an employee's status and service and are filed on the right (permanent) side of the OPF in chronological order, normally by effective date, with the latest date on top.

- o SF-50B, Notification of Personnel Action;
- o SF-61, Appointment Affidavits;
- o SF-144, Statement of Prior Federal Service;
- o SF-202, Leave Record, final leave record card showing accumulated leave at the time of separation;
- o SF-1152, Designation of Beneficiary--Unpaid Compensation of Deceased Civilian Employee;
- o SF-2801, Application for Retirement;
- o SF-2802, Application for Refund of Retirement Deductions;
- o SF-2806, Individual Retirement Record;

- o Application for employment;
- o Contract of employment, if applicable;
- o Notice of security clearance;
- o Records of skills tests required for employment;
- o Forms required for enrollment in post insurance or other benefit programs;
- o Report of physical examination (any medical information of a confidential nature should be placed in an envelope beneath the papers on the right side of the folder);
- o Record of Training forms;

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- o Copies of travel orders;
- o Performance evaluation reports;
- o Payroll change slips;
- o Evidence of Awards;
- o Official letters of commendation evidencing performance of official duties clearly above the quality normally expected;
- o Record of Violation and related correspondence;
- o Clearance for final salary payment, if required;
- o CA-1 and CA-2, Reports of on-the-job injury and treatment;
- o Bond information: name of bonding company, amount of bond, date next premium due, and date last premium paid.

Temporary Records

Documents which are not specified for filing on the right side of the OPF are considered temporary records and are filed on the left side of the folder. The documents listed below are considered temporary records.

- o Form SF-52, Request for Personnel Action, except when used as the appointment or resignation document;
- o Letters of reference;
- o Letters of warning or reprimand and similar disciplinary action papers, and letter;
- o Correspondence that has temporary administrative usefulness; e.g., applications for passes, licenses, or official recognition of assignments.

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SUPPLEMENT 1B

FOREIGN SERVICE RESIDENCE AND DEPENDENCY REPORT

1. Purpose

The Foreign Service Residence and Dependency Report, Department of State Optional Form 126 (Exhibit 1B-1), is used as a:

- a. basis for determining an employee's point of travel at the time of appointment, home leave and separation;
- b. record of an employee's legal residence which is required on nominations for commissioning into the Senior Foreign Service, for commissions below FS-1, and on applications for diplomatic titles;
- c. record of an employee's dependent(s) whose eligibility for travel and other benefits has been established.

2. Applicability

- a. A Foreign Service Residence and Dependency Report must be submitted at the time of appointment and a residence changes occur concerning AID U.S. citizen Foreign Service employees and by employees involved in AID Participating Agency Services Agreements (PASAs).

3. Definitions

- a. Home Leave Residence. The location in the United States, its possessions or the Commonwealth of Puerto Rico, where an employee anticipates spending home leave.
 - b. Separation Residence. The location to which travel and shipment of household and personal effects will be authorized upon separation from the Agency, or the location where remains will be shipped if death occurs while abroad or while in travel status. When an employee elects to reside outside the United States, its possessions or the Commonwealth of Puerto Rico, travel will be granded on a constructive cost basis in accordance with the regulations outlined in HB 22, Travel and Transportation.
 - c. Legal Residence. The city and state which are claimed for federal tax and other purposes as the employee's legal residence. This residence should be stated in item #4 on the Report.
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d. Family Members. Includes the relatives listed below who reside, or normally would reside, with the employee at post. Family members who receive benefits or allowances from the government similar to those granted the employee are excluded, e.g., spouse employed by AID or an other federal.

(1) Spouse.

(2) Children who are single and under 21 years of age or, regardless of age, are incapable of self-support. In addition to natural offspring, the term includes stepchildren, adopted children and those under legal guardianship of the employee or spouse when such children are expected to be under such legal guardianship at least until they reach the age of 21 and when dependent upon and normally residing with the guardian.

(3) Parents (including stepparents and legally adoptive parents), of the employee or the spouse, when such parents are at least 51 percent dependent upon the employee for support.

(4) Sisters and brothers (including stepsisters, stepbrothers or adoptive sisters and brothers) of the employee or the spouse, when such sisters or brothers are at least 51 percent dependent upon the employee for support, unmarried and under the age of 21 or, regardless of age, are incapable of self-support.

e. Tandem Couple. A married couple, one of whom is a employee of AID and the other an employee of AID or any other U.S. foreign affairs agency. A dependent of a tandem couple may be listed on either form, but not both. All dependents of a tandem couple need not be listed on the same form.

4. Policy

a. Both members of a working couple (also called tandem couple) must submit a Foreign Service Residence and Dependency Report.

b. Employees must provide proof of dependency at the time of appointment for all family members (other than spouse or natural born children) and whenever changes in family status occur, e.g. divorce, (re)marriage, birth of child(ren), death or adoption. In order for those persons listed as dependents on the Report to receive travel and other benefits at Government expense, proof of dependency must be established.

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c. Revisions to the Report may be established or confirmed by submitting a copy of the marriage license, birth certificate of child(ren), court or legal documents, or xeroxed portion of the most recent federal tax return. Such documentation will be retained in the employee's Official Personnel File.

d. Approval for any changes in designation of residence shall be granted on the basis of a full justification by the employee. The justification must be based on specific reason(s), e.g., the purchase of new property, family interests, health problems or other compelling circumstances. Reasons should be indicated in item #6 of the Report. Approval must be granted prior to the initiation of travel or shipment of household and/or personal effects.

5. Responsibilities:

a. Employees. Each employee (refer to statement 2a above) shall execute in triplicate a Foreign Service Residence and Dependency Report (OF-126) at the time of appointment and as changes occur thereafter, including changes in U.S. legal residence. Completed forms should be submitted: (1) in AID/W to the Executive Personnel Management Staff (PFM/PM/EPM), Foreign Service Personnel Division (PFM/PM/FSP), or IG/ADM, as appropriate; and (2) when overseas, to the Mission Director or designee. PASA employees should submit completed forms: (1) in the U.S. to their Administrative Officer in their parent agency, and (2) overseas through the Mission Director or designee to their parent agency for approval.

b. Mission Director or Designee. The Mission Director or designee approves or disapproves changes in residence or dependency for employees overseas. The original and one copy are sent to PFM/PM/EPM or PFM/PM/FSP. If disapproved, reason(s) should be included in item #7 on the Report.

c. PFM/PM/EPM and PFM/PM/FSP. Ensures that a Foreign Service Residence and Dependency Report has been executed and approved prior to a Foreign Service employee's appointment. As requested, approves or disapproves requests for changes in dependency or residence. If approved, places original copy of form (along with any proofs of dependency) in the member's OPF, forwards one copy to the Mission (if appropriate) and one copy to the State Department Medical Unit. If disapproved, provides reason(s) in item #7 on the Report and returns form to the employee.

Upon receipt of a Mission approved form, places original in the employee's OPF. Finally, provides guidance to Missions concerning the approval or disapproval of requests for change in residence or dependency.

PRIVACY ACT STATEMENT

Sections 5921-28 of Title 5, and Sections 4081 and 4083 of Title 22 to the U.S. Code authorizes collection of this information. The primary use of this information is to establish an employee's correct residence for purpose of home leave travel and shipment of effects benefits; and to identify employee dependents for purposes of Government-paid travel, allowances and related benefits. This information is made available as a routine use on a need-to-know basis to agency personnel responsible for determining employee and an employee's dependent eligibility for the aforementioned benefits. Failure to provide the requested information may prevent the agency from providing the aforementioned benefits eligibility grounds.

INSTRUCTIONS: F. S. RESIDENCE AND DEPENDENCY REPORT

PURPOSE

The OF-126 form is used to (1) designate residences for travel and shipment of effects, (2) to record marital status, and (3) to list dependents. If residence, dependency, or marital status information is different from that previously submitted, underline all new information. Your agency will assume all residence and dependency information in your file is correct unless you submit a revised OF-126. All items on the form must be completed at the time of each submission.

WHERE TO SEND THE FORM

If you are serving abroad, one copy is retained by the post's administrative section for personnel files. Send original and two copies to your agency. Route forms as follows -

- State: PER/FCA Assignments Office
- AID: See Supplement 1B to HB 32, Chapter 1
- USIA: M/PFO - FS Personnel Division or VOA P/F - Foreign Personnel Advisor, as appropriate
- Commerce: Office of F.S. Personnel
- Agriculture: FAS/Personnel, APHIS/Human Resources Division; or appropriate agency Personnel Office.

RESIDENCE INFORMATION

The residences for home leave and separation that you list are residences to which you will be authorized travel and shipment of effects.

Residence In U.S. At Time of Appointment (Block #3) **USIA ONLY:** Your residence in the U.S. at the time of your current Foreign Service appointment. If residence is of temporary nature, such as school, show residence you consider your "permanent" residence.

Legal Residence (Block #4): The city and state which you claim as your legal residence. The legal residence designated will be used when names are submitted for attestation by the President and confirmation by the Senate.

Home Leave Residence (Block #5): The location in the U. S. where you expect to spend your home leave. (Provide house/apartment number, street, city, state, zip code.) The address you claim is subject to approval. The justification (Block #6) for the selection or change of a home leave residence must be based on a close family tie or other compelling interests, and not simply on a desire to visit the location or for personal convenience. Valid justifications for changes of home leave address include death or relocation of a relative whose address was previously claimed, better climate needed for recorded health problem, sale or purchase of residential or business property, or change of legal residence. Requests for changes of home leave address will be reviewed on a case-by-case basis. Changes based on a prospective event cannot be approved. Home leave residence may not be changed after travel orders are issued without the prior approval of the appropriate authorizing officer in Washington.

Residence for Service Separation (Block #8): (Provide house/apt. number, street, city, state, zip code.) List residence in the United

States to which you would want travel and shipment of effects authorized when you separate. While such designation is the location where you expect to reside or be employed, it also is the location where remains are shipped if death occurs while abroad or while in travel status. If remains are shipped to a different location, shipment is made on a cost constructive basis. (6 FAM 126.5-1.)

This form must be resubmitted prior to separation and must show the notation "SEPARATION" placed at the center bottom margin of the form. No change can be made after effective date of separation.

Marital Status (Block #9): Accurate marital status information is necessary for your agency to project estimated costs for family travel. Correct marital status information is important and to ensure that travel orders are accurately prepared. (Block #12 - "Place" refers to place of marriage from which spouse's travel is authorized.) If you are married, check only status "M" or one of the status codes which describe marriage to a Foreign Service or Civil Service employee.

DEPENDENCY INFORMATION

A dependent may be a spouse, a child under the age of 21, or a relative who is at least 51% dependent on you for support (subject to review and approval. See 6 FAM 117; AID employees also see Supplement 1B to HB 32, Chapter 1). Children of divorced employees or spouses cannot be listed on travel orders unless (a) a copy of the divorce decree establishing that the employee/spouse has joint or total custody of children is on file in the appropriate personnel office (in joint custody or sole custody cases, a notarized statement from the ex-spouse authorizing the child to reside abroad also is required); and (b) children meet the dependency criteria contained in 6 FAM 117 (for AID see Supp. 1B to HB 32, Ch.1). Dependency information must be kept current. Travel will not be authorized for dependents unless you have submitted a current OF-126, listing those dependents before your travel orders are produced. Amending travel orders to add or delete dependents often causes delays in employee travel. **YOU MUST ATTACH DOCUMENTATION** (such as a xerox copy of most recent income tax return (first page), an affidavit testifying to more than 51 percent support, or some other documentary evidence of support) **TO SUPPORT A CLAIM AS A DEPENDENT ANY RELATIVE OTHER THAN A DEPENDENT SPOUSE, OR CHILD UNDER 21 YEARS OF AGE.** Requests to include such dependents by State employees will be reviewed for approval by a PER OF-126 Committee. (Authorizing official signature in Block 14 will indicate approval or disapproval of such dependent(s).) At the age of 22, dependent children will be dropped automatically from your record unless MED has supplied to PER information indicating that the children are permanently dependent. Post personnel officer's signature indicates only that form and required documentation appear to be complete.

NOTE: Keeping dependency information up-to-date helps ensure the coverage of eligible dependents under your agency's medical program. **PARENTS, SISTERS OR BROTHERS ARE NOT COVERED.** (3 FAM 681.6.)

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SUPPLEMENT 1C

ARRIVAL AND DEPARTURE NOTICES

(Submission Requirements and Preparation Instructions)

A. Submission Requirements and Format

1. Arrival and Departure Notices must be submitted when the following employees or their dependents travel, whether or not travel is at Government expense:
 - a. U.S. Foreign Service (FS) employees of AID,
 - b. Participating Agency Employees (PASAs),
 - c. Other Agency employees on detail to overseas posts,
 - d. AID/W personnel on detail to an overseas post,
 - e. Temporary duty for AID FS employees between Missions for 60 days,
 - f. Consultants and experts,
 - g. Dependents of an employee when traveling to/from the employee's overseas post of assignment,
2. Arrival and Departure Notices need not be submitted for the following categories of employees and circumstances:
 - a. Resident-Hire personnel, except when traveling on official orders issued in their names,
 - b. Contract employees and their dependents,
 - c. Local and Third-country Foreign Service Nationals, or
 - d. In-Country travel.
 - e. Rest and Recuperation travel, or,
 - f. Family Visitation travel.
3. The Arrival Notice is prepared immediately upon arrival of travelers at the post. If an Arrival Notice is not received within ten days after the expected date of arrival, PFM/PM/FSP, PFM/PM/EPM or IG/ADM, as appropriate, will follow-up with a cable of inquiry.
4. Insofar as possible, the Departure Notices should be prepared and forwarded to AID/W thirty (30) days prior to the departure of travelers.
5. Arrival and Departure Notices should be prepared on cable format as indicated in the attached sample notices.

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6. When an employee is departing for home leave, an "Overseas Return Certificate" (form AID 4-312) must be forwarded to the appropriate office in Washington.

7. Incentive Language Payments, if applicable, are stopped at the end of the pay period in which actual departure occurs. This includes, but is not limited to, Home Leave, Direct Transfer, R&R, Midtour Transfer and Separation. For a detailed explanation, consult HB 28, Ch. 4.

8. Arrival Notices are not to be used for requesting a shortened tour. For guidance in requesting a shortened tour, refer to HB 25, Ch. 36.

B. Instructions for Preparation of Cables:

1. Follow the formats shown in the sample notices with regard to item numbers and corresponding information. Refer to the sample completed Arrival Notice and Departure Notice.

2. If an item is not applicable to the employee or dependent(s) being reported, insert "N/A" following the item number.

3. All Arrival and Departure messages must be marked "PERSONAL INFORMATION."

ARRIVAL NOTICES

<u>ITEMS</u>	<u>CONTENT</u>
SUBJECT	Type ARRIVAL NOTICE and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent Of" in front of the employee's name.
REFERENCE	If "REFERENCE" is for a correction to a previous notice, state cable number and date.
ITEM 1	<u>CATEGORY OF EMPLOYEE:</u> <ol style="list-style-type: none"> a. AID Foreign Service b. Expert or Consultant c. Participating Agency (name of agency) d. Detail from other Agency (name of agency) e. Civil Service (AID/W employee)

ITEM 2 DATE FIRST ARRIVED AT PRESENT POST

ITEM 3 DATE AND PLACE FROM WHICH TRAVEL BEGAN

ITEM 4 DATE ARRIVED OVERSEAS ON CURRENT TOUR OR TDY ASSIGNMENT

ITEM 5 HOME LEAVE ELIGIBILITY DATE

Home Leave Eligibility Date (HLED) is 18 months after date first arrived overseas on current tour or detail assignment; tour of duty is normally 24 months. Leave taken in the U.S. extends HLED but not the tour of duty. Such leave is reported by cable only when receipt of authorized home leave travel orders will cause the employee to be in violation of 18 months continuous service abroad statutory requirement. (Refer to HB 27, Ch. 5 for methods of computing continuous service abroad.)

ITEM 6 END OF TOUR DATE

ITEM 7 TRAVEL AUTHORIZATION NUMBER AND DATE

ITEM 8 PURPOSE OF TRAVEL:

- a. Initial Assignment
- b. Detailed from (specify post)
- c. Midtour Transfer (specify post)
- d. Direct Transfer from (specify post)
- e. Home Leave and Transfer from (specify post)
- f. Return from Home Leave
- g. Return from Consultation, AID/W
- h. Return from Travel at Personal Expense
- i. Return from Detail at (specify where)
- j. Other (specify)

ITEM 9 PERSONS TRAVELLING:

- a. Employee Only
- b. Dependent(s) Only
- c. Employee and Dependents

ITEM 10 DEPENDENT INFORMATION:

a. Dependents Arriving Post This Trip:

Names of dependents, relationship, and ages of children. For the purpose of this notice, include as a dependent any person who arrived in the country of assignment as a result of the employee's assignment (regardless of whether or not travel was paid at Government expense). Dependents must be listed on Form 490-2.

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b. Total Number Of Dependents At Post:

- ITEM 11 MISSION DEPARTURE DATE (may or may not differ from End Of Tour (EOT) date which is normally 24 months from APP date)
- ITEM 12 FURTHER EXPLANATIONS - Item 12 should be used for any additional comments regarding the Arrival Notice. (e.g. - language incentive payments; For a detailed explanation of these payments, see HB 28, Ch.4)

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SAMPLE OF ARRIVAL NOTICE CABLE

SUBJECT: ARRIVAL NOTICE - John Roe; BS-02; 277304598
SSN: [REDACTED]

REFERENCE:

PERSONAL INFORMATION:

- 1.a. Category of Personnel: AID Foreign Service Employee
2. Date First Arrived at Present Post: 07/11/87
3. Date and Place From Which Travel Began: Left Washington, D.C. on 02/03/88
4. Date Arrived Overseas on Current Tour: 02/05/88
5. Home Leave Eligibility Date: 08/04/89
6. End of Tour Date: 02/04/90
7. TA # and Date: TA #: 279-88-020, dated 11/29/87
- 8.f. Purpose Of Travel: Return from Home Leave
- 9.a. Persons Travelling: Employee Only
10. Dependent Information: N/A
11. Mission Departure Date: 02/04/90
12. Further Explanations: N/A

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DEPARTURE NOTICES

- | <u>ITEMS</u> | <u>CONTENT</u> |
|--------------|---|
| SUBJECT | Type <u>DEPARTURE NOTICE</u> and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent(s) of" in front of employee's name. |
| REFERENCE | If "REFERENCE" is for a correction to a previous notices, state cable number and date. |
| ITEM 1 | <u>CATEGORY OF EMPLOYEE:</u> <ul style="list-style-type: none"> a. AID Foreign Service b. Expert or Consultant c. Participating Agency (name of agency) d. Detail from Agency (name of agency) |
| ITEM 2 | <u>DEPARTURE DATE:</u> |
| ITEM 3 | <u>ESTIMATED TIME OF ARRIVAL (ETA) AT:</u> <ul style="list-style-type: none"> a. Overseas Post b. U.S. Destination c. AID/W (for consultation or other purpose; state number of days approved and cite message of approval) |
| ITEM 4 | <u>TRAVEL AUTHORIZATION NUMBER AND DATE</u> |
| ITEM 5 | <u>PURPOSE OF TRAVEL:</u> <ul style="list-style-type: none"> a. Home Leave and Return to Post b. Home Leave and Transfer to (specify post) c. Midtour Transfer (specify post) d. Direct Transfer to (specify post) e. Separation f. Detail to (specify post) g. TDY, AID/W h. Travel at Personal Expense (explain in Item 16) i. Other (specify) |

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ITEM 6 PERSONS TRAVELLING:

- a. Employee Only
- b. Dependents Only
- c. Employee and Dependents

ITEM 7 DEPENDENT INFORMATION:

a. Dependents Departing Post This Trip -

Names of dependents, relationships, and ages of children. For the purpose of this notice, include as a dependent any person traveling who is present at post because of employee's assignment there, whether or not dependent traveled at Government expense. Dependents must be listed on Form 490-2.

b. Total Number of Dependents Who Remain At Post

ITEM 8 LEAVE OR STOPOVERS EN ROUTE

Explain as in Item 3 (this item is not applicable for personal expense trip)

ITEM 9 AUTHORIZED AID/W CONSULTATION - NUMBER OF APPROVED DAYS AND CITE APPROVAL MESSAGE

ITEM 10 EMPLOYEE'S LEAVE RECORD:

- a. Accumulated leave ceiling: _____ hours as of _____ date
- b. Annual Leave: _____ hours as of _____ date
- c. Sick Leave: _____ hours as of _____ date
- d. Home Leave: _____ hours as of _____ date
- e. Annual leave approved for use while away from post:
 - 1. En route to U.S.: _____ hours
 - 2. While in U.S.: _____ hours
 - 3. En route to post: _____ hours
- f. Home leave approved: _____ workdays

ITEM 11 ADDRESS(ES) AND TELEPHONE(S) WHERE EMPLOYEE MAY BE REACHED WHILE ON LEAVE IN U.S.

ITEM 12 ESTIMATED TIME OF ARRIVAL AT POST ON RETURN TRIP

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ITEM 13 DATE SIGNED "OVERSEAS RETURN CERTIFICATE" WILL BE SENT. In all cases of home leave, transfer to an overseas post, or home leave and return to post, employee must sign this certificate (Form AID 4-312, Att. 1B-1).

ITEM 14 INDICATE DATE AND PLACE OF PHYSICAL EXAMINATION(S)

ITEM 15 DISPOSITION OF EMPLOYEE'S EFFECTS:

- a. Left in Quarters
- b. Loose Packed and Held
- c. Packed, Segregated and Held
- d. Shipped (if shipped, give budget allowance/appropriation symbol)

ITEM 16 FURTHER EXPLANATIONS - Item 16 should be used for any additional comments regarding the Departure Notice. (e.g. - terminate language incentive payments; see HB 28, Ch.4)

NOTE: Language Incentive Payments are terminated at the end of the pay period in which actual departure occurs. Please refer to HB 28, Ch. 4. for more information on Language Incentive Payments.

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SAMPLE OF DEPARTURE NOTICE CABLE

PERSONAL INFORMATION

SUBJECT: Departure Notice - John Doe; BS-10; 987640970
SSN: [REDACTED]

REFERENCE:

- 1.a. Category of Personnel: AID Foreign Service
2. Departure Date: 09/15/88
- 3.b. Estimated Time of Arrival: ETA U.S.: 09/17/88
 - c. AID/W: 10/07/88
4. TA # and Date: TA #: 7671-84-AID, 08/29/88
- 5.a. Purpose of Travel: Home Leave and Return to Post
- 6.a. Persons Travelling: Employee Only
7. Dependent Information: None
8. Leave or Stopover En Route: None
9. Authorized AID/W Consultation: Five days consultation on AID/W authorized per State 151688
10. Employee Leave Record:
 - a. Leave Ceiling: 360 hours as of 06/18/88
 - b. Annual Leave: 331 hours as of 06/18/88
 - c. Sick Leave: 1738 hours as of 06/18/88
 - d. Home Leave: 99 days as of 06/18/88
 - e. Annual Leave Approved:
 1. En route to U.S.: 0 hours
 2. While in U.S.: 0 hours
 3. En route to post: 16 hours
 - f. Home Leave Approved: 41 workdays
11. Address Where Employee Can Be Reached: Mailing Address in the U.S.: 997 Skyhill Rd. #43; Alexandria, Va. 20036; 703-555-1212
12. ETA at Post on Return Trip: 12/07/88
13. Date Signed "Overseas Return Certificate" forwarded: 08/29/88
14. Date and Place Physical Exams Taken: Employee's physical examination was taken at post and results forwarded to M/MED on 07/06/88
15. Disposition of Effects: a. left in quarters
16. Further Explanations: Stop language incentive payments

**CHAPTER 2 - Revised Automated
Manpower and Personnel
Systems (RAMPS)**

STAFFING PATTERN
-----EXPLANATION OF STAFFING PATTERN DATA
-----PAGE HEADINGS

HEADING DATA FOR EACH PAGE INCLUDES THE TITLE OF THE PARENT ORGANIZATION, FOLLOWED IN PARENTHESIS BY THE ABBREVIATION FOR THAT PARENT ORGANIZATION, AND THE ORGANIZATION SEQUENCE NUMBER (ORGNO) OF THE PARENT ORGANIZATION.

ORGANIZATION HEADER LINES

WITHIN THE BODY OF THE STAFFING PATTERN, ORGANIZATIONAL TITLES ARE SHOWN, FOLLOWED IN PARENTHESIS BY THE ORGANIZATION ABBREVIATION, AND THE APPLICABLE ORGNO.

POSITION COLUMN HEADINGS

POSNO: POSITION SEQUENCE NUMBER.
 PO: POST CODE (SEE FOLLOWING PAGES).
 TYPE POSN: TYPE OF POSITION (3 CHARACTERS). VALUES ARE:
 1ST: POSITION STATUS CODE:
 C = CONTINUING POSITION.
 D = DELETE ON DEPARTURE OF INCUMBENT.
 2ND: POSITION PERMANENCY:
 P = PERMANENT POSITION
 T = TEMPORARY POSITION OR INTENDED TO BE IN EFFECT
 LESS THAN A YEAR.
 3RD: WORKWEEK:
 F = FULL TIME (REGULAR 40-HOUR WEEK).
 P = PART TIME.
 I = INTERMITTENT.
 SUP: SUPERVISORY POSITION:
 1 = SUPERVISOR.
 3 = MANAGER.
 4 = SUPERVISOR (CSRA).
 5 = MANAGEMENT OFFICIAL (CSRA).
 6 = LEADER.
 8 = ALL OTHER POSITIONS.
 PN/DG: N = SES CAREER.
 S = SES NON-CAREER.
 7 = GENERAL SCHEDULE.
 F = FOREIGN SERVICE.
 POS. TITLE: TITLE AS DETERMINED FROM AOSC (SEE "POSNO AOSC").
 BS: POSITION BACKSTOP CODE AS DETERMINED FROM POS AOSC.
 POSNO: POSITION SEQUENCE NUMBER.
 POSN AOSC: AGENCY OCCUPATIONAL SPECIALTY CODE OF POSITION.
 POSN PL: POSITION PAY PLAN.
 POSN GR: POSITION PAY GRADE.
 PDN: POSITION DESCRIPTION NUMBER (NUMBER ASSIGNED TO
 PAPER DESCRIBING DUTIES OF POSITION).
 SEC CLA: C = CRITICAL SENSITIVE. A SECURITY CLASSIFICATION
 REQUIRED FOR SOME AID/W POSITIONS.
 LNG: FIRST LANGUAGE REQUIRED FOR THE POSITION. A TWO
 CHARACTER CODE TO IDENTIFY THE LANGUAGE REQUIRED
 (SEE FOLLOWING PAGES).
 REQ: LANGUAGE PROFICIENCY REQUIRED FOR THE POSITION.
 SPK: INCUMBENT'S SPEAKING PROFICIENCY IN REQUIRED LANGUAGE.

STAFFING PATTERN
.....

EXPLANATION OF STAFFING PATTERN DATA (CONT'D)
.....

INCUMBENT COLUMN HEADINGS
.....

NAME: IF ON THE SAME LINE AS POSITION DATA:
IF OCCUPIED, THE NAME OF THE INCUMBENT.
IF VACANT, DEPENDING ON STATUS OF REPLACEMENT
SELECTION THE FOLLOWING MAY SHOW:
"VACANT".
"CANDIDATE SELECTED".
"HOLD PLACEMENT", OR
"PENDING MODE CLEARANCE".
IF ON THE LINE BELOW THE POSITION DATA:
IF REPLACEMENT DUE IN, NAME OF REPLACEMENT.
IF OCCUPIED, DEPENDING ON STATUS OF REPLACEMENT
SELECTION THE FOLLOWING MAY SHOW:
"CANDIDATE SELECTED".
"HOLD PLACEMENT", OR
"PENDING MODE CLEARANCE".

PRIM AOSC: INCUMBENT'S PRIMARY AWARDED AOSC.
EMPL PLAN: INCUMBENT'S PAY PLAN.
EMPL GR: INCUMBENT'S GRADE.
WS: WORK SCHEDULE:
1 = FULL-TIME.
2 = PART-TIME.
3 = INTERMITTENT.
4 = WITHOUT COMPENSATION.
5 = IPA.
6 = LEAVE WITH PAY.
7 = NON-PAY STATUS.
9 = LEAVE WITHOUT PAY.

OSEA/WASH DATE: FOR FOREIGN SERVICE ONLY (THE DATE STARTED AID/W
ASSIGNMENT FOR EMPLOYEES IN AID/W. AND DATE STARTED
OVERSEAS ASSIGNMENT FOR EMPLOYEES OVERSEAS.
ARR POST: FOR FOREIGN SERVICE ONLY (DATE ARRIVED POST).
DEP/ART/DATE: IF ON SAME LINE AS INCUMBENT:
IF OVERSEAS, INCUMBENT'S PROPOSED DEPARTURE DATE
FOR HOME LEAVE/REASSIGNMENT;
IF AID/W, INCUMBENT'S EXPECTED DEPARTURE DATE
FROM POSITION, IF ANY.
IF ON SAME LINE AS NAME OF REPLACEMENT (SEE "NAME"
ABOVE), THE EFFECTIVE DATE OF REASSIGNMENT.
NOTE: AN "R" PRECEDING DEPART DATE INDICATES EMPLOYEE
WILL RETURN TO POST FOLLOWING HOME LEAVE

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CHAPTER 2

Revised Automated Manpower and Personnel System (RAMPS)

2A. Purpose

1. This chapter provides supervisors and employees with a basic understanding of RAMPS and explains some of the more significant concepts used in this automated information system. This chapter does not replace policies contained in various external directives, such as those of the Office of Personnel Management (OPM) and internal procedural guidances, but should be used in conjunction with such issuances.

2. RAMPS uses automatic data processing to provide an automated management system for Agency work force planning and tracking. It consists of computerized files pertaining to organizations, positions and personnel within AID.

2B. Scope

RAMPS includes information pertaining to all AID direct-hire U.S. citizen employees and non-PASA employees of other agencies detailed to AID, and the organizations and positions to which they are assigned. It does not include information pertaining to contract personnel, Foreign Service Nationals (FSNs) or Third-Country Nationals (TCNs), or U.S. citizens in FSN/AFM designated positions.

2C. Responsibilities

1. The Office of Information Resources Management (M/SER/IRM)

a. M/SER/IRM is responsible for the operation of AID's central computer facility and for developing and maintaining the automated information systems; e.g., RAMPS, required for AID's internal operations (see HB 18, Information Services).

b. Through its office of Mandated Management Programs, M/SER/IRM administers the AID Organizational Management Program, which includes the approval of organizational structures in AID/W and overseas, as required by statute and Executive Branch regulations (see HB 17, AID Organization).

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(2C)

2. The Resources Planning Staff (M/PM/RP)

M/PM/RP is responsible for the operation of the Personnel Information Center (PIC) which includes, but is not limited to:

a. Providing guidance to RAMPS user offices regarding external rules and regulations, and internal policies and procedures for the preparation of inputs used to update RAMPS computer files.

b. Reviewing daily outputs and producing special reports to determine whether the requested changes have been effected in the system. If a change is rejected by the system, analyzes problem and advises the user office of the necessary action(s) to be taken, referencing instructional materials as appropriate. If the problem involves the RAMPS data base, proposes and coordinates changes to the system with M/SER/IRM.

c. Producing routine and special ad hoc reports from data in the RAMPS data base.

d. Coordinating the production of periodic reports to be printed on high speed printers with M/SER/IRM.

3. User Offices

a. The Office of Personnel Management (M/PM). M/PM, the primary user of RAMPS, is responsible for certifying the accuracy of information in RAMPS and for ensuring that transaction documents are submitted in accordance with established regulations and procedures set forth in external and internal guidances; e.g., the Federal Personnel Management (FPM) Supplement 296-33, the Foreign Service Act of 1980, and the RAMPS Transaction Guidebook.

b. Bureaus/Offices. Bureaus and Offices are responsible for certifying that organizational or position change requests; e.g., Staffing Pattern Action Requests (SPARs), are submitted in accordance with policies and procedures established by M/PM/PMC and M/SER/IRM, as applicable.

2D. Definitions

1. Employing Office

The AID/W Bureau/Office or the overseas mission to which an employee is assigned, and which initiates actions relative to its organization, positions and personnel as described in this chapter. The appropriate AID/W office is the action office for nonregional Foreign Service members stationed overseas.

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(2D)

2. Action Officer

The Mission Officer, usually the Executive Officer or designee, who initiates actions relative to the Mission's organization, positions, and personnel; or the M/PM Staffing Specialist who backstops an AID/W Bureau/Office and who initiates position and personnel actions requested by that office. M/SER/IRM/MMP initiates organizational changes requested by a Bureau or Office.

3. Parent Organization

An AID/W organizational element which receives an allotment of positions directly from the Office of Financial Management. Bureaus/Offices having personnel overseas (regional and nonregional) receive two advices of ceiling--one for AID/W positions and one for overseas positions.

M/PM also receives two advices of ceiling--one for AID/W staff personnel and one for personnel complements. Bureaus/Offices make suballocations to their subordinate organizations.

4. Organizational Header

The title of a parent or subordinate organization. The terms "parent organization" and "subordinate organization" are used in conjunction with the organizational header only when it is necessary to differentiate between organizational elements.

2E. Basic Concepts

1. Computer Files and Records

a. Computers use alphabetic, numeric, and special characters similar to those on a typewriter. One or more characters used to convey a specific item of information is called a data element; e.g., employee's name or educational level. Some data elements consist of one or more characters of coded information to further define the data element; e.g., using 04 to represent high school graduate in the data element educational level.

b. A set of defined data elements makes up a record. A group of similar records placed together make up a file.

c. Each computer file in RAMPS is designed for a specific purpose. The primary file, the Master Data File, includes three types of records which are easily identified in the primary report generated by RAMPS, the Staffing Pattern:

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(2E1c)

(1) Type 1 - Organizational data for parent organizations; e.g., the header line "Bureau for Africa;"

(2) Type 2 - Organizational data for subordinate organizations; e.g., the header line "Office of Regional Affairs;" and

(3) Type 3 - Position and employee data.

2. Daily Update of Computerized Files.

a. The computerized files comprising RAMPS are updated using information keyed from transaction ("PER") forms. These forms provide source information which, when transmitted to and processed by the computer, result in changes to the files; e.g., SPARs (PER-Ø2). Except for SPARs, which may be initiated by employing offices, all transaction forms are prepared within M/PM and forwarded directly to M/PM/RP.

b. At the end of each day accumulated transactions are transmitted to the computer using a special communicator device which is connected to the computer via telephone lines. At night the computer processes the information, updates files as required, and then prepares any outputs requested or due, e.g., Notification of Personnel Actions, SF-50s.

c. Outputs are printed the following morning using a special printer located in M/PM/RP, which is connected to the computer via telephone lines. The outputs are then distributed to the requesting office(s).

2F. Reports

1. General

a. RAMPS provides for the automatic preparation of a large number of reports used by M/PM and throughout AID; some are on a scheduled basis, e.g., the monthly Staffing Pattern, and others upon request. These reports are usually printed on high speed printers located in M/SER/IRM.

b. If an office needs a special computerized report, the action officer should contact M/PM/RP. The data needed may be available in a report not normally distributed to the requesting office. If such a report is not available but the data requested is contained in RAMPS, a special ad hoc report may be created. Ad hoc reports must be requested as far in advance of the date needed as possible. If the data requested is not contained in RAMPS, the action officer will be referred to the appropriate office.

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(2F1)

c. Personal information, e.g., social security number, is maintained in RAMPS. In accordance with the Privacy Act of 1976, personal information must be protected from unauthorized use. Requests for reports which contain personal information must be signed by the Office Director, or equivalent, and submitted to M/PM/RP for approval. Requests must include a justification of need and a description of the intended use.

2. Employee Data Record Print (EDR)

a. An EDR is a computer-generated summary of employee data which is extracted from an employee's data record in RAMPS. The EDR includes basic information; e.g., date of birth, education and Agency sponsored training, and lists an employee's ten most recent personnel actions.

b. An Agencywide audit of EDR prints is required at least every two years. EDR prints, together with instructions, are forwarded to all AID U.S. citizen direct-hire employees. Employees who wish to review their EDR print at times other than the biennial review should contact M/PM/RP.

2G. Restricted Data

Some data maintained in RAMPS is of a highly sensitive nature; i.e., handicap and race and national origin identification codes. Dissemination of this data is restricted to those offices required to maintain such data for statistical purposes. This data does not appear in any of the regular RAMPS reports, including EDR prints. For information concerning these codes see HB 32, Chapter 1.

2H. Staffing Pattern

1. General

a. The Staffing Pattern is a monthly computer-prepared report which provides current organizational and position structure data. It displays each organizational element, the authorized positions for each parent organizational element, and incumbent data for each position (see Exhibit 2A for a list of the data included in the Staffing Pattern.)

b. Each line in the Staffing Pattern is either an organizational header line or a position line. Position lines follow directly below the header line of the organizational element within which they fall. The content of both the organizational header and position lines is based on the SPAR (see Exhibit 2B) submitted by the employing office and entered into the computer records. Incumbent data, if any, is shown to the right of position data on the position line.

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(2H1)

c. Statistical data for each AID/W Bureau and Office and each overseas Mission appear at the bottom of the last page applicable to each parent organization and Mission.

d. The Staffing Pattern provides an effective tool for managers and individuals responsible for organization and position management.

2. Sequencing

a. The order in which the lines appear in the Staffing Pattern is based on sequence numbers which, under RAMPS, are called the Organizational Sequence Number (ORGNO) for organizational header lines and the Position Sequence Number (POSNO) for position lines.

b. The ORGNO is a nine-digit number as shown in HB 17. It defines the sequence number of an organizational header.

c. The POSNO is a nine-digit number, using the first five or seven digits of the ORGNO as the base and last two digit sequence values 03 through 99 for AID/W positions, and last four digits 0003 through 9999 for overseas positions. The POSNO defines the sequence number of a position line.

d. The ORGNO and POSNO serve as record identifiers within RAMPS computerized files. After a POSNO has been entered into the computer, a position may be located by reference to that POSNO.

e. An organization change is made in accordance with the provisions of HB 17. When approved, M/SER/IRM prepares the appropriate SPAR(s) and forwards to M/PM.

3. Staffing Pattern Action Request (SPAR), Form AID 4-512

a. The SPAR is used both in AID/W and overseas as a basis for classification actions and to establish, revise, delete or resequence organizational and position data in the RAMPS data base. In AID/W, it is also used as a source document for personnel actions for both Foreign Service and Civil Service employees assigned to AID/W positions. Events which require the preparation of a SPAR include, but are not limited to:

- (1) Creating a new organizational header line;
- (2) Establishing or reestablishing a position;

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(2H3a)

- (3) Changing an existing position due to:
- (a) A change in duties and responsibilities or in supervisory control or review;
 - (b) A change in organizational location or a redistribution of duties due to reorganization; or
 - (c) A conversion of pay plan and grade of a GS position to be filled by an SFS or FS member to pay plan FE or FS; or vice versa;
- (4) Resequencing an ORGNO or POSNO;
 - (5) Deleting an organizational header;
 - (6) Deleting a position;
 - (7) Deleting a position upon departure of the incumbent (change in status code);
 - (8) Requesting an AID/W personnel action; or
 - (9) Establishing a dual incumbency for a position.

b. Resequencing of incumbered positions is restricted to positions within a single organizational element; i.e., positions under a single organizational header in the Staffing Pattern. Multiple actions within an organizational element may be submitted using a single SPAR.

c. Vacant positions may be resequenced between organizational elements within a parent organization. The movement of an incumbered position from one organizational element to another is accomplished by a reassignment following internal procedures.

4. Position Ceilings

a. M/FM issues position ceilings to parent organizations. Organizations are informed by memorandum of any changes in position ceilings.

b. Approved ceilings are entered into RAMPS by M/PM/RP. These ceilings are shown at the end of each parent organization listing in the Staffing Pattern. Suballocations of ceiling by a parent organization are not shown for a subordinate organization.

c. Using specially programmed counters, the computer keeps track of the number of currently active positions chargeable to the ceiling of a parent organization and its subordinate organizations. Any attempt to establish an active position in excess of the approved ceiling will be rejected by the computer. M/PM/RP will advise the office concerned. New employees are charged against the ceiling on the effective date of the personnel action.

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(2H)

5. Dual Incumbency

As a part of the control exercised by RAMPS on organization, position, and employee management through the monitoring of position ceilings, RAMPS does not permit two employees to be assigned to the same position. Requirements may arise when an incoming replacement must, in effect, be a dual incumbent. However, the one-to-one relationship of employees to positions in RAMPS dictates that a second position be established for the replacement. In such cases, the original position is placed in "D" status (to be abolished upon departure of the incumbent) after the replacement position is established.

2I. Personnel Actions

1. General

a. This section describes the recording of personnel actions in the official RAMPS computer files; the production through RAMPS of Notification of Personnel Actions, SF-50Bs (hereafter referred to as SF-50), which document and effect actions; and the processing of suspense file data.

b. A SPAR is used for all position actions in AID/W and overseas. If a personnel action will be effected in conjunction with a position action, it should be so indicated on the SPAR. All personnel actions are initiated with a Request for Personnel Action, SF-52 (see Exhibit 2C).

2. Notification of Personnel Action, SF-50B

All official personnel actions are documented with an SF-50 (see Exhibit 2D). RAMPS is designed to enable the preparation of SF-50s as a computer output (see 3D2 above).

b. To establish an employee record in RAMPS, all data concerning the employee must be included on the initial SF-52 entering the employee on duty. Thereafter, only the employee's Social Security Number and the information to be changed need be entered into the computer to produce an SF-50. The computer will complete the remainder of the SF-50 from data within the employee's automated record.

c. An SF-50 may be produced prior to its effective date. The SF-50 is produced on the date the request is entered into the computer. However the computer record is not updated until the effective date of the action.

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d. When a personnel action becomes effective, the information contained on the SF-50 is provided via electronic media to the New American Payroll System (NAPS) so that the proper payrolling can be achieved.

3. Realignments

a. In AID/W, realignments of incumbered positions from one organizational element to another are initiated by the gaining organization. Employing offices should contact the Civil Service Personnel Division (M/PM/CSP) for guidance concerning realignment actions.

b. Realignments occur infrequently overseas and will be handled in a manner determined by the Foreign Service Personnel Division (M/PM/FSP) or the Executive Personnel Management Staff (M/PM/EPM), as appropriate, and M/PM/RP.

c. Individual SF-50s will be printed for each employee affected.

4. Suspense Actions

An automated suspense process is accomplished about the tenth of each month. While M/PM is the major user of suspense reports, the following guidelines apply to employing offices for the following suspense outputs:

a. Length-of-Service Awards

(1) This is a listing of all employees who have completed 10, 20, 25, 30, 40, or 50 years of total government service. The list is prepared three months prior to completion of the service in order to provide sufficient time to arrange for the presentation of awards.

(2) A list is prepared and forwarded to each parent organization in AID/W and overseas. In addition, for overseas employees with thirty or more years of service, M/PM also forwards Length-of-Service certificates

(3) Presentation of awards are made by parent organizations or subordinate organizations in accordance with HB 29, Chapter 5, Incentive Awards Program.

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(214)

b. Periodic Step Increases (PSI)

(1) Civil Service Personnel. Each month, as applicable, M/PM/CSP is provided a list of employees who may be due a PSI during the following three months. M/PM/CSP forwards the names of employees to the appropriate Management Offices for certification of acceptable performance. Upon receipt of such certification, M/PM/CSP processes SF-50s for eligible employees on the appropriate effective date. (See also HB 26, Chapter 3, Pay Under the General Schedule.)

(2) Foreign Service Personnel. Each year the Foreign Service Selection Boards indicate those members whose performance does not warrant a step increase. Each month M/PM/RP provides M/PM/FSP and M/PM/EPM lists of those members who may be due a PSI the following month. M/PM/EPM or M/PM/FSP, as appropriate, review the lists along with the information provided by the Selection Boards. Based on M/PM/FSP or M/PM/EPM approval, SF-50's will be generated automatically to effect step increases for eligible employees.

(3) Denial of Step Increase. When a PSI is to be denied a Civil Service or a Foreign Service employee, the denial is documented with an official personnel action (SF-50) and the date the employee is eligible for the next PSI is adjusted in RAMPS. (For detailed information concerning the granting and denial of PSIs, see HB 26, Ch. 2, Foreign Service Pay, and Ch. 3, Pay Under the General Schedule.)

EXHIBITS:

- Exhibit 2A - Explanation of Staffing Pattern Data
- Exhibit 2B - Staffing Pattern Action Request, form AID 4-512
- Exhibit 2C - Request for Personnel Action, form SF-52
- Exhibit 2D - Notification of Personnel Action, form SF-50B

Origin Code

STAFFING PATTERN ACTION REQUEST

Exhibit 2B

HB 32, Ch. 2

WARNING: DISCLOSURE TO AUTHORIZED PERSONS ONLY (22 C FR 6A). CONTAINS INFORMATION PROTECTED BY THE PRIVACY ACT OF 1974.

Keyed	Requesting Office, Bureau or Mission	SPAR Number
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ER 01 I. ORGANIZATIONAL HEADER

1. ORGNO (9)
2. Parent ORGNO (9)
3. Organizational Title (50)
4. Organizational Abbreviation (15)

ER 02 II. POSITION DATA

Type of Action (enter underlined letter in box)

ESTABLISH REVISE DELETE

B. Codes		C. Proposed Position Title and Backstop
1. POSNO (9)		
2. Post Code (2)		
3. Position Status (1)		
4. Type of Position (2)		D. Supervisor's Position Title and Grade
5. Allotment (19)		
6. Position Occupied (for SES) (1)		
7. Position Sensitivity (1)		E. Supervision Exercised (number, type (U.S., FSN, TCN), and position title and grade)
8. AOS Code (6)		
9. Functional Classification (2)		
10. Pay Plan (2)		
11. Pay Grade (2)		
12. Supervisory Code (1)		
13. Language Code (2)		
14. Required Speaking Ability (1)		
15. Required Reading Ability (1)		
16. Vacancy Status Indicator (1)		
17. Obey Indicator (1)		
18. Position Description Number (5)		
19. FLSA Indicator (1)		
20. Competitive Level (3)		
21. EPAP (Exec. Pers. Assign Panel) (1)		

PER 03 III. RESEQUENCE

A. From ORGNO/POSNO	B. To ORGNO/POSNO
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Remarks (use plain bond if more space is needed)

IV. CLEARANCES/ROUTING

1. Originating Office	Date	Position Expiration Date
Overseas Personnel	Date	3. AID/W Personnel
		Date
4. PIC - Date Received	Date Action Taken	Date Action Rejected

V. APPROVALS

Position - M/PM Classification	Date	Organization - M/SER/MP	Date
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**CHAPTER 3 - Work Force
Resource Allocation and
Employment Controls**

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Chapter 3

WORK FORCE RESOURCE ALLOCATION AND EMPLOYMENT CONTROLS

3A. Purpose

This chapter provides the policies, regulations and procedures which govern AID's work force resource allocation and employment control system.

3B. Scope

This chapter applies to all AID Bureaus and Offices.

3C. Definitions

1. Full-time Equivalent Work-Year Limitation (Employment Ceiling). Employment ceilings are set annually for the Agency by the Office of Management and Budget (OMB) at the direction of the President. This ceiling is the number of full-time equivalent (FTE) work-years permitted during a given fiscal year. The employment ceiling applies only to FTE work-years for which compensation is paid. Work-years equal hours worked, or scheduled to be worked, divided by 2,080.* Overtime and holiday hours for which premium compensation is paid are not part of the work-year ceiling.

2. Direct-hire Employee. An employee hired under AID personnel appointment authority.

3. Active Position. A position, whether filled or vacant, listed on the official Staffing Pattern of an organizational unit of AID.

4. Permanent Position. A position established to be in effect for an unlimited period of time or for a limited period of one year or more, or which has been filled continuously for one year or more regardless of intention at the time the position was established.

5. Temporary Position. A position established to be in effect for less than one year.

*NOTE: In accordance with FPM guidelines, work-years are based on 2080 hours; pay is based on 2087 hours.

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(3C)

6. Part-Time Position. A position established for an employee who is regularly employed by the Federal Government on a prescheduled workweek of less than forty hours. For AID purposes, the scheduled workweek for a part-time employee may be no less than 16 hours and no more than 32 hours per week. Specific guidance concerning part-time employment is contained in HB 25, Ch. 26, Part-time Career Employment.

7. Allocation. An issuance of work-year limitations to an Agency organizational unit.

3D. Authorities

1. 5 U.S.C. 2951, as amended.
2. 5 CFR 7.2
3. Foreign Assistance Act of 1961, as amended.

3E. Determining Work Force Resource Allocations

1. The work force resource allocation and employment control system is a management tool for allocating limited work force resources among the Agency's organizational units, and ensuring that these resources are utilized in conformance with the priorities and objectives of AID senior management. The system also relates work force limitations to organizational and position classification considerations as required by OMB Circular A-64, which requires each Executive Department and agency to maintain a comprehensive position management system.

2. Work force resources are allocated annually for both the operational year (current year) and the budget year (next year) by the Office of Financial Management (M/FM) to Bureaus and Offices for both AID/W and overseas in the form of fiscal year FTE work-year limitations, i.e., the maximum number of FTE work-years an organizational unit may use in a given fiscal year.

3. Organizational suballocations of the FTE work-year ceiling are determined during the annual program development and budget preparation and approval cycle, i.e., Annual Budget Submission (ABS). The ABS must be consistent with, and supportive of, the Country Development Strategy Statement (CDSS), and is designed to provide data for use in the review and approval of current and projected work force requirements. Authorized FTE work-year levels are provided by M/FM to each organizational unit in time for ABS submissions.

3F. Work Force Allocations -- Responsibilities and Procedures

1. M/FM notifies each organizational unit by memorandum of their operational and budget FTE work-year ceilings.

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(3F)

2. Separate ceilings are provided for each personnel category with breakouts for overseas and AID/W locations, and for U.S. and foreign national incumbency. The personnel categories are: (a) full-time employees with permanent appointments (FTE PA), and (b) all other employees (non-FTE PA). For ceiling purposes only, Administratively Determined (AD), Schedule C, Executive level, and full-time foreign national employees are included in the FTE PA, in addition to regular full-time U.S. direct-hire GS and FS employees.

3. Any transfer of ceilings between AID/W and overseas, or between U.S. and foreign nationals must be approved by the Assistant to the Administrator for Management (AA/M), or designee.

4. Organizational units may not interchange FTE PA with non-FTE PA ceilings, or U.S. with non-U.S. incumbency ceilings.

5. Changes in approved ceilings may be requested during an operational year only if requirements develop which could not have been anticipated during the annual review and which cannot be absorbed through internal reallocation. If the requirements cannot be met by internal reallocation, requests for additional ceiling are submitted to the AA/M. Generally, increases will be approved only if compensating reductions can be obtained elsewhere in the Agency. Review by M/FM for the AA/M includes, but is not limited to, AID's overall employment levels, conformance with approved organization structures and functional statements, and compatibility with funding sources.

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4E. Staffing at Diplomatic Missions

1. The number of full-time U.S. Government employees assigned abroad is subject to ceiling limitations. For AID, this category includes all AID direct-hire (U.S. and foreign national) and PASA employees, except personnel appointed under the authority of the Office of the Inspector General (IG) and those PASA employees whose salaries are paid from host-government funds. This control is administered by the National Security Council, with staff support from the Department of State. Authority for this control is derived from a Presidential Directive dated June 2, 1982. The ceiling is monitored at each Diplomatic Post by the Ambassador, whose clearance is required for any increase in an agency's overseas employment limitation (see Attachment 4B, Staffing at Diplomatic missions and their Constituent Posts).

2. Semiannual reports of the number of employees encumbering the controlled positions are required by the Department of State as of June 30 and December 31. The semiannual and other special reports are prepared by M/FM in coordination with the Office of Personnel Management, Resources Planning Staff (M/PM/RP).

4F. Direct Hire Foreign National Employment Report (FNER)

1. Purpose

The FNER provides data on Foreign Service National (FSN) employees of AID, including wages, salaries and lump-sum payments. This information is used in AID's monthly SF-113A report which is required by OPM. In addition, the FNER is designed to provide data for various internal Agency work force reports.

2. Definition

For the purpose of the FNER, the term "Foreign Service Nationals" includes both local employees of the host country and Third-Country National employees (TCNs).

3. Responsibilities

a. Overseas posts are responsible for submitting the monthly FNER to M/PM/RP.

b. M/PM/RP is responsible for the preparation of the official work force reports described in this chapter using the data submitted by the overseas posts.

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(4F)

4. Report Requirements

a. The FNER is prepared using form AID 330-1 (see Attachment 4C). The form may be obtained from the Distribution Branch, M/SER/MO/PM/D, in AID/W.

b. The FNER is prepared each month and includes all actions effected as of the close of business on the 20th day of the month or, if the 20th is not a workday, the last preceding workday. One copy is airtailed to M/PM/RP to arrive no later than the 1st of the following month.

5. Post Procedures

a. Instructions for preparing the FNER are included as Attachment 4C. To ensure that reports are accurate and consistent, the reporting unit is to reconcile the current month's report with the previous month's report. When end-of-month employment varies by plus or minus 5% or more, or when it varies by as many as 10 persons, a short narrative explaining the difference must be provided in Part III of the report.

b. FSNs should be reported by assignment category, i.e., assigned to a mission, an area Inspector General (IG) office, or a regional office. Separate forms are prepared for each category. Each post reports only those FSN regional or IG employees located in its country even though the regional office may have jurisdiction over FSNs in another country, e.g., ROCAP/Guatemala, RIG/A Pakistan, RIG/II Egypt.

c. Identify any TCNs.

6. AID/W Procedures

a. The following actions are taken by M/PM/RP:

(1) Follow-up. Maintains a file to record the receipt of monthly reports from each reporting unit to assure timely receipt, and initiates follow-up action(s) as appropriate.

(2) Accuracy. Checks reports for overall accuracy and consistency before including data in the work force records. Initiates action, as appropriate, to ensure the general accuracy and integrity of overseas work force reports.

(3) Reporting. Using the data provided in the FNERs, produces AID's official SF 113A Report for submission to OPM and for preparation of various internal work force reports.

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4G. Contract Personnel Statistics Report

1. Purpose

The reporting of contract personnel data assists AID/W in its responsibilities for planning and monitoring the utilization of contract personnel both overseas and in AID/W, is used for Agency employment trend analysis and work force management, and is used by AID/W in meeting external report requirements, e.g., requests for data from Congress and OMB.

2. Definitions

a. AID Direct Contract. A contract between AID and an individual, nonprofit institution, university or commercial firm.

b. Personal Service Contract (PSC). A PSC is one in which an employer-employee relationship rather than an independent contractor relationship is established under a contract. The facts in a given case determine which relationship exists; e.g., if the contract is for the performance of personal services under the direction and control of the U.S. Government, or if the dates or hours of work are set by, or are required to be reported to, AID as a basis for compensation, an employer-employee relationship would exist.

c. Contract Employees. Persons occupying positions identified separately in an AID-financed contract with a university, institution or firm when the contractor provides advice, training, or other services to a cooperating country or directly to AID.

d. Borrower/Grantee Contract. An AID-financed contract between a borrower or a grantee (e.g., the government of any cooperating country, or any agency, instrumentality, or political subdivision thereof) and an individual (regardless of nationality), nonprofit institution, university or commercial firm.

3. Scope of Report

a. Reportable Contracts

(1) Missions. Contracts financed by interregional (worldwide) funds and by funds allotted to the reporting mission regardless of whether the contract was executed in the mission or in AID/W.

(2) Regional Overseas Units. Contracts financed by interregional (worldwide) funds and by funds allotted to the reporting unit; e.g., Area Development Offices.

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(4G3a)

(3) AID/W Offices and Bureaus. Contracts financed by AID/W for regional or other special activities which are not reported by a particular mission and contractor personnel who are providing a service in AID/W to the employing office.

b. Reportable Contract Personnel

Each report shall include all U.S. and foreign national direct contract employees who are paid in U.S. dollars or U.S. owned local currency or trust funds and whose term of employment is expected to be one year or more, which includes:

- (1) Personnel employed under a PSC;
- (2) Personnel employed under a direct AID contract with a university, commercial firm or nonprofit institution; and
- (3) Certain personnel employed under mission support-type contract. Personnel who meet the following criteria are reported:
 - o Performance of work is substantially at the mission or a Government-owned/leased facility;
 - o Principal tools and equipment are furnished by AID;
 - o Services are applied to support the mission or an organizational subpart as opposed to one specific project;
 - o Comparable services, meeting comparable needs, reasonably could be performed by direct-hire employees;
 - o The inherent nature of the service requires supervision or direction by an AID direct-hire employee;
 - o Under the terms of the contract, services are provided only to AID, i.e., the services are not shared with other agencies or organizations

c. Personnel Excluded From Report

The following personnel are not reported:

- (1) Personnel employed under Host Country and Borrower/Grantee contracts or Operational Experts (OPEX) arrangements;

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(4G3c)

(2) Personnel related to or necessary for: (a) completion of a tangible end product such as constructed real property, e.g. buildings or dams; (b) feasibility and investment surveys for capital projects; (c) commodity-related services; e.g., services incidental to the purchase of commodities or equipment under contract, such as the labor provided by a contractor in connection with the installation of purchased machinery; or (d) providing tangible services for overall mission support and operations on an "as needed" rather than a full-time basis, e.g., on a given day might provide services for AID, other government agencies and/or local residents.

(3) Personnel employed by private organizations receiving AID program grants to permit them to extend their own activities in areas which support and contribute to the achievement of AID program objectives, e.g., the Population Council, the International Executive Service Corps, International Planned Parenthood Federations, and the Pathfinder Fund.

4. Procedures

a. Overseas posts and AID/W Bureaus/Offices submit quarterly summary statistics for reportable contractor personnel at post as of the 20th of March, June, September, and December. Reports must be received by M/FM/BUD and M/PM/RP by close of business April 1, July 1, October 1, and January 1.

b. Report statistics will consist of the total number of U.S. and foreign national contractor personnel by category of funding, i.e., Operating Expense (OE) Funds, Trust Funds, Program (project) Funds:

- (1) Total reportable contractor personnel - OE Funds;
 - (a) U.S. citizens
 - (b) Foreign nationals
- (2) Total reportable contractor personnel - Trust Funds;
 - (a) U.S. citizens
 - (b) Foreign nationals
- (3) Total reportable contractor personnel - Program Funds;
 - (a) U.S. citizens
 - (b) Foreign nationals
- (4) Grand total of (1), (2) and (3) above.
 - (a) U.S. citizens
 - (b) Foreign nationals

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(4G4)

c. Overseas posts record the summary statistics in Part III, Narrative, of AID form 330-1. In AID/W, separate summary statistics for: (1) AID/W assigned contractors, and (2) each applicable overseas activity described in 4G3a(3) above, are forwarded by memorandum to M/FM/BUD and M/PM/RP.

ATTACHMENTS:

- Attachment 4A - AID Work Force Accounting Reference Chart
- Attachment 4B - Guidelines on Staffing At Diplomatic Missions
- Attachment 4C - Instructions for Preparing the Direct Hire Foreign National Employment Report (form AID 330-1)

AID WORK FORCE ACCOUNTING REFERENCE CHART

<u>PERSONNEL CATEGORY</u>	<u>Charged Against Employment/Workyear Limitation</u>
AID/W DIRECT-HIRE: Competitive Service (GS/GM); Schedules A, B, C, Administratively Determined (AD); Senior Executive Service (SES); Foreign Service (FS); Senior Foreign Service (SFS); Experts and Consultants (EC); Wage Board (WP); Presidential Appointments (EX); Transfers to AID under IPA	Yes
Stay-in-School Participants (Disadvantaged Youth) and Federal Junior Fellowship Program	No
OVERSEAS AID DIRECT-HIRE: <u>U.S. Nationals:</u> Foreign Service (FS), Senior Foreign Service, Experts and Consultants (EC)	Yes
<u>Foreign Nationals:</u> Foreign Service (FSN), Third-Country National (TCN)	Yes
ANY AID DIRECT-HIRE EMPLOYEE: <u>DETAILED</u> to another Federal agency or an international organization (reimbursable & nonreimbursable)	Yes
----- <u>DETAILED</u> to State or local government under an IPA agreement in excess of 90 days: AID pays 50% or more of the total salary cost for employee	Yes
State or local government pays more than 50% of the total salary for employee	No
----- <u>DETAILED</u> within AID or on TDY status - (Charged to organization where employee's permanent position is located)	Yes

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AID WORK FORCE ACCOUNTING REFERENCE CHART

<u>PERSONNEL CATEGORY</u>	<u>Charged Against Employment/Workyear Limitation</u>
ANY OTHER-AGENCY EMPLOYEE ASSIGNED TO AID (reimbursable or nonreimbursable):	
On detail - 90 days or less	No
On detail - In excess of 90 days	No

ASSIGNED TO AID under a PASA or RSSA	No

ANY STATE OR LOCAL GOVERNMENT EMPLOYEE APPOINTED TO AID UNDER AN IPA	Yes

ANY STATE OR LOCAL GOVERNMENT EMPLOYEE DETAILED TO AID UNDER AN IPA	No

ANY AID-FINANCED CONTRACTOR EMPLOYEE: AID or country executed: loan contract, grant contract, technical assistance contract, end-product contract, or personal service contract.	No

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THE WHITE HOUSE
WASHINGTON

Attachment 4B to
HB 32; Ch. 4.

8220142

July 13, 1982

MEMORANDUM FOR THE VICE PRESIDENT
THE SECRETARY OF STATE
THE SECRETARY OF DEFENSE
THE ATTORNEY GENERAL
THE SECRETARY OF AGRICULTURE
THE SECRETARY OF COMMERCE
THE DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET
THE DIRECTOR OF CENTRAL INTELLIGENCE
THE CHAIRMAN, JOINT CHIEFS OF STAFF
THE ADMINISTRATOR, AGENCY FOR INTERNATIONAL
DEVELOPMENT
THE DIRECTOR, INTERNATIONAL COMMUNICATION AGENCY

SUBJECT: Guidelines to Implement NSDD 38

The attached Guidelines to replace all guidelines and other agreements previously in effect under the Monitoring Overseas Direct Employment System are approved.

FOR THE PRESIDENT:


William P. Clark

Attachment

Guidelines

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SYSTEM II

90321

THE WHITE HOUSE

WASHINGTON

June 2, 1982

*National Security Decision
Directive Number 38*

STAFFING AT DIPLOMATIC MISSIONS
AND THEIR CONSTITUENT POSTS

This directive supersedes the directive of October 14, 1974 and subsequent directives governing the Monitoring Overseas Direct Employment (MODE) system.

In accordance with my letter to Chiefs of Mission, and the memorandum of September 22, 1981, conveying it to heads of Executive Departments and Agencies, all agencies with staffs operating under the authority of Chiefs of Mission will ensure that, in coordination with the Department of State, the Chiefs of Missions' approval is sought on any proposed changes in the size, composition, or mandate of such staff elements. Departments and agencies wishing to initiate changes should transmit their proposals to Chiefs of Missions in consultation with the Department of State. In the event the Secretary of State or his designee is unable promptly to resolve to the satisfaction of the parties concerned any disputes which may arise between Chiefs of Mission and Agency Heads or his designee, the Secretary of State and the other Agency Head concerned will present the differing views to me for decision through the Assistant to the President for National Security Affairs. Formal acknowledgement of changes approved by Chiefs of Mission or determined by me shall be transmitted to diplomatic missions by the Department of State.

Overseas staffing of elements with U.S. diplomatic missions abroad shall conform to decisions reached in accordance with the above procedures and decisions made through the budgetary process.

Departments and agencies will keep the Department of State informed as to current and projected overseas staffing authorizations for each diplomatic post, differentiating between the number of U.S. personnel and the number of foreign national personnel authorized for each post. The Department of State shall maintain a current record of staffing authorizations for each overseas post. Agencies will cooperate with the Department of State in providing data including any data needed to meet special reporting requirements.

The Department of State, in consultation with concerned agencies, will develop guidelines by July 1, 1982 for my approval to implement this directive.

Ronald Reagan

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INSTRUCTIONS FOR PREPARING THE
DIRECT HIRE FOREIGN NATIONAL EMPLOYMENT REPORT
(Form AID 330-1)

Part I

1. Organization/Country

Enter the Organization and Country name; specify whether AID mission, Inspector General or Regional Activity.

2. Country Code

Enter the appropriate three-digit number (see HB 18, App. D, Sec. III, Att. A-11, AID Geographic Code Book).

3. "As of 20th Day Month and Year"

Enter the month and year covered by this submission. Include all personnel actions effected as of the close of business on the 20th day of the month (or, if the 20th is not a workday, the last preceding workday).

4. Prepared By

Enter the name of the person preparing the report.

5. Title

Enter the title of the person preparing the report.

6. Signature

Signature of the person preparing the report.

7. Date

Enter the date the report was completed and airmailed to M/PM/RP. The report must be airmailed no later than the 21st day of the reporting month.

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Part II

Complete Sections A, B, C and D, using the funding categories from which the foreign nationals are paid, on the appropriate line as follows:

1. Grand Total

Appropriated funded plus trust funded (lines 2 and 5).

2. Total Appropriated Funds

All employees paid from Appropriated Fund accounts (lines 3 and 4)

3. Operating Expenses

Employees paid from AID Operating Expense appropriation.

4. Nonoperating Expenses

Employees paid from other U.S. Government funds; e.g., Project Funds, Revolving Fund (Housing Guaranty, Excess Property), Narcotics, Working Funds (advances from other agencies), and appropriations made to other Federal Government agencies.

5. Total Trust Funds

Employees paid from Local Currency Trust Fund accounts.

Section A, Paid Employment

Entries include all FSNs in pay status as of the reporting date, in each of the above funding categories who were appointed under AID-appointment authority (see HB 31, Foreign National Personnel).

Total: Full-time plus Part-time plus WAE employees.

Full-Time: All permanent or temporary full-time employees (FTEPP).

Part-time: All permanent or temporary part-time employees.

WAE: All permanent or temporary employees on a paid when-actually employed appointment who were in pay status at any time during the reporting month.

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Section B. Permanent Appointments

Enter the number of FSNs participating in the U.S. Civil Service Retirement System.

Section C. Personnel Actions

Enter the number of changes in employment status for lines 1, 2 and 5 in the following columns:

Net Total: Enter the total number of accessions, separations and transfers to other funding categories. This figure represents the net total change in employment during the reporting month. Entries should reconcile the previous month's employment in each category to the reporting month's employment as reported in Section A.

Accessions: Enter the number of accessions during the reporting month (include employees returning from LWOP).

Separations: Enter the number of separations during the reporting month (include employees entering LWOP status).

Transfers: Enter the number of employees reported the previous month who transferred from Trust to Appropriated and/or from Appropriated to Trust funds during the reporting month.

Indicate the appropriate sign, whether plus or minus. Since the net change will always be zero, "0" is preprinted in line 1 of this column.

Section D. Payroll Costs (In Dollars)

Enter on lines 1 through 5 the dollar amount of earnings (including differentials but excluding allowances), rounded to the nearest dollar, which were paid during the reporting period. The amounts may be estimated based on the number of days the employees were in pay status during the reporting month.

Wages and Salaries: Include the wages and salaries paid during the reporting month to direct hire FSNs appointed under AID appointment authority, whether payrolled by AID or State. Include salaries for those reported employees whose payroll costs are disbursed by regional or area controllers. Do not include those FSNs appointed by an agency other than AID, even if payrolled by AID.

Lump-Sum Payments: Enter total lump-sum payments disbursed by the Mission, Area Controller, or Embassy to AID direct hire FSNs separated during the reporting month. In Part III of the form, identify any lump-sum payments for fringe benefits, e.g., bonuses.

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Part III, Narrative

1. Identify and explain any items which vary by plus or minus 5%, or by ten or more persons.
2. Include data about FSNs not reported in Section A;
3. Footnote the category of funds for those employees paid from other U.S. Government funds (Part II, line 4); e.g., Housing Guaranty, Excess Property, and appropriations made to other Federal Government agencies.
4. Footnote the number of Third-Country Nationals (TCNs) included in each entry of Section A, lines 3 through 5.
5. Footnote the number of American Family members (FSN/AFM) appointed to FSN positions included in Part II, sections A and C, lines 1 through 5.
6. Following the guidelines provided in HB 32, Chapter 4, Section 4G, use this section for quarterly Contract Personnel Statistics Report.

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CHAPTER 4

WORK FORCE REPORTS

4A. Purpose

This chapter provides the regulations and procedures governing the preparation and submission of various required work force reports. Such reports are essential to meet both internal and external reports requirements, and Agency work force management requirements.

4B. Scope

This chapter applies to all AID/W Bureaus and Offices and to all overseas posts, as appropriate.

4C. Authorities

1. 5 U.S.C. 2951, as amended.
2. 5 CFR 7.2.
3. Foreign Assistance Act of 1961, as amended.

4D. Full-Time Equivalent/Work Year Civilian Employment Report (SF 113G)

This section outlines the procedures for the preparation of the SF-113G report each month for submission to the Office of Personnel Management (OPM). This report contains data on: (a) the number of employees by FTE category, (b) straight time and overtime hours by FTE, and (c) FTE usage. (See also Attachment 4A, AID Work Force Accounting Reference Chart.)

1. Definitions

- a. Full-time Permanent Employees. All full-time direct-hire U.S. citizen personnel with permanent appointments and Schedule C, AD, Executive Level and full-time foreign national employees.
- b. Other Employees. All part-time and intermittent employees with permanent, temporary or indefinite appointments.
- c. Full-time. A regularly scheduled workweek of forty hours or more.

(4D1)

d. Straight-time - Hours of work for which employees are paid at their rate of basic pay and includes hours paid for annual, sick, holiday, and other paid leave. When earned compensatory time is taken, it should be reported as straight time. Included are hours in excess of eight hours per day worked by employees who have been authorized to work in excess of forty hours as a part of their regularly scheduled workweek. Hours worked by part-time employees which are in excess of their part-time tour of duty but not in excess of eight hours in a day or forty hours in a week should be reported as straight time.

e. Overtime - Hours of work in excess of eight hours in a day, except for employees with a regular scheduled workweek in excess of forty hours.

2. Procedures

a. Overseas Missions and reporting units, e.g., USAID, ROCAP, RIG, RHUDO, report foreign national direct-hire full-time equivalent work-hour data to the Budget Division of the Office of Financial Management (M/FM/BUD).

b. Summary data should be cabled to M/FM/BUD to arrive no later than five days after the end of each pay period using the following format:

Subject: Reporting FTE for Foreign Nationals P.P.
(Beginning Month/Day and Ending Month/Day).

	Full-Time	Part-time	Total
--	-----------	-----------	-------

- | | | | |
|-----|---------------|--|--|
| (1) | Straight Time | | |
| (2) | Overtime | | |
| (3) | No. of FSNs | | |

c. M/FM/BUD converts the work-hour data reported into FTE work-years. M/FM/BUD then prepares AID's official SF 113G report for submission to OPM using the data submitted by the missions and data obtained from payroll records for U.S. citizen personnel.

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Chapter 5

FOREIGN SERVICE RESIDENCY/TRAVEL FORMS

5A. Purpose

This chapter explains the applicabilities, responsibilities and procedures for:

- "Foreign Service Residence and Dependency Report" (OF-126)
- "Arrival and Departure Notices"
- "Overseas Return Certificate" (AID 4-312)

5B. Applicability

All AID Foreign Service Officers, their dependents and employees involved in AID Participating Agency Services Agreements (PASAs) are bound by the use of these forms when stationed overseas.

5C. Supplements

- Supp. 5A - "Foreign Service Residence and Dependency Report"
- Supp. 5B - "Arrival and Departure Notices"
- Supp. 5C - "Overseas Return Certificate"
- Supp. 5D - 3 FAM 450, "Home Leave"

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SUPPLEMENT 5A

FOREIGN SERVICE RESIDENCE AND DEPENDENCY REPORT

1. Purpose

The Foreign Service Residence and Dependency Report, Department of State Optional Form (OF) 126 (Exhibit IB-1), is used as a:

- a. basis for determining an employee's point of travel at the time of appointment, home leave and separation;
- b. record of an employee's legal residence which is required on nominations for commissioning into the Senior Foreign Service, for commissions below SFS, and on applications for diplomatic titles;
- c. record of an employee's dependent(s) whose eligibility for travel and other benefits has been established.

2. Applicability

A Foreign Service Residence and Dependency Report must be submitted at the time of appointment and as residence changes occur concerning AID U.S. citizen Foreign Service employees and by employees involved in AID Participating Agency Services Agreements (PASAs).

3. Definitions

- a. Home Leave Residence. The location in the United States, its possessions or the Commonwealths of Puerto Rico or Mariana Islands, where an employee anticipates spending home leave.
- b. Separation Residence. The location to which travel and shipment of household and personal effects will be authorized upon separation from the Agency, or the location where remains will be shipped if death occurs while abroad or while in travel status. When an employee elects to reside outside the United States, its possessions or the Commonwealths, travel will be granted on a constructive cost basis in accordance with the regulations outlined in HB 22, Travel and Transportation.
- c. Legal Residence. The city and state which are claimed for federal tax and other purposes as the employee's legal residence. This residence should be stated in item #4 on the Report.
- d. Family Members. Includes the relatives listed below who reside, or normally would reside, with the employee at post, and who meet the definition of a family member in the Standard Regulations, Sec. 040.m. Family members who receive benefits or allowances from the government similar to those granted the employee are excluded, e.g., spouse employed by AID or an other federal.

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(1) Spouse.

(2) Children who are single and under 21 years of age or, regardless of age, are incapable of self-support. In addition to natural offspring, the term includes stepchildren, adopted children and those under legal guardianship of the employee or spouse when such children are expected to be under such legal guardianship at least until they reach the age of 21 and when dependent upon and normally residing with the guardian.

(3) Parents (including stepparents and legally adoptive parents), of the employee or the spouse, when such parents are at least 51 percent dependent upon the employee for support.

(4) Sisters and brothers (including stepsisters, stepbrothers or adoptive sisters and brothers) of the employee or the spouse, when such sisters or brothers are at least 51 percent dependent upon the employee for support, unmarried and under the age of 21 or, regardless of age, are incapable of self-support.

e. Tandem Couple. A married couple, one of whom is an employee of AID and the other an employee of AID or any other U.S. foreign affairs agency. A dependent of a tandem couple may be listed on both forms. All dependents of a tandem couple need not be listed on the same form.

4. Policies

a. Both members of a tandem couple must submit a Foreign Service Residence and Dependency Report.

b. Employees must provide proof of dependency at the time of appointment for all family members (other than spouse or natural born children) and whenever changes in family status occur, e.g. divorce, (re)marriage, birth of child(ren), death or adoption. In order for those persons listed as dependents on the Report to receive travel and other benefits at Government expense, proof of dependency must be established.

c. Revisions to the Report may be established or confirmed by submitting a copy of the marriage license, birth certificate of child(ren), court or legal documents, or xeroxed portion of the most recent federal tax return. Such documentation will be retained in the employee's Official Personnel File.

d. Approval for any changes in designation of residence shall be granted on the basis of a full justification by the employee. The justification must be based on specific reason(s), e.g., the purchase of new property, family interests, health problems or other compelling circumstances. Reasons should be indicated in item #6 of the Report. Approval must be granted prior to the initiation of travel or shipment of household and/or personal effects.

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5. Responsibilities

a. Employees. Each employee (refer to statement 2a above) shall execute in triplicate a Foreign Service Residence and Dependency Report (OF-126) at the time of appointment and as changes occur thereafter, including changes in U.S. legal residence. Completed forms should be submitted: (1) in AID/W to the Executive Resources Division (PFM/PRM/ERD), Assignments & Career Development (PFM/PRM/ACD), or IG/RM, as appropriate; and (2) when overseas, to the Mission Director or designee. PASA employees should submit completed forms: (1) in the U.S. to their Administrative Officer in their parent agency, and (2) overseas through the Mission Director or designee to their parent agency for approval.

b. Mission Director or Designee. The Mission Director or designee approves or disapproves changes in residence or dependency for employees overseas. The original and one copy are sent to PFM/PM/EPM, PFM/PM/FSP or IG/ADM. If disapproved, reason(s) should be included in item #7 on the Report.

c. PFM/PRM/ERD and PFM/PRM/ACD. Ensures that a Foreign Service Residence and Dependency Report has been executed and approved prior to a Foreign Service employee's appointment. As required, approves or disapproves requests for changes in dependency or residence. If approved, places original copy of form (along with any proofs of dependency) in the member's OPF, forwards one copy to the Mission (if appropriate) and one copy to the State Department Medical Unit. If disapproved, provides reason(s) in item #7 on the Report and returns form to the employee.

Upon receipt of a Mission approved form, places original in the employee's OPF. Finally, provides guidance to Missions concerning the approval or disapproval of requests for change in residence or dependency.

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SUPPLEMENT 5B

ARRIVAL AND DEPARTURE NOTICES

(Submission Requirements and Preparation Instructions)

A. Submission Requirements and Format

1. Arrival and Departure Notices must be submitted when the following employees or their dependents travel, whether or not travel is at Government expense:

- a. U.S. Foreign Service (FS) employees of AID,
- b. Participating Agency Employees (PASAs),
- c. Other Agency employees on detail to overseas posts,
- d. AID/W personnel on detail to an overseas post,
- e. Temporary duty for AID FS employees between Missions for 60 days or more,
- f. Consultants and experts,
- g. Dependents of an employee when traveling to/from the employee's overseas post of assignment.

2. Arrival and Departure Notices need not be submitted for the following categories of employees and circumstances:

- a. Resident-Hire personnel, except when traveling on official orders issued in their names,
- b. Contract employees and their dependents,
- c. Local and Third-country Foreign Service Nationals,
- d. In-Country travel,
- e. Rest and Recuperation travel, or,
- f. Family Visitation travel.

3. The Arrival Notice is prepared immediately upon arrival of travelers at the post. If an Arrival Notice is not received within ten days after the expected date of arrival, PFM/PRM/ACD, PFM/PRM/ERD or IG/RM, as appropriate, will follow-up with a cable of inquiry.

4. Insofar as possible, the Departure Notices should be prepared and forwarded to AID/W thirty (30) days prior to the departure of travelers.

5. Arrival and Departure Notices should be prepared on cable format as indicated in the attached sample notices.

6. When an employee is departing for home leave, an "Overseas Return Certificate" (form AID 4-312) must be forwarded to the appropriate office in Washington.

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7. Incentive Language Payments, if applicable, are stopped at the end of the pay period in which actual departure occurs. This includes, but is not limited to, Home Leave, Direct Transfer, R&R, Midtour Transfer and Separation. For a detailed explanation, consult HB 28, Ch. 4.

8. Arrival Notices are not to be used for requesting a shortened tour. For guidance in requesting a shortened tour, refer to HB 25, Ch. 36.

B. Instructions for Preparation of Cables:

1. Follow the formats shown in the sample notices with regard to item numbers and corresponding information. Refer to the sample completed Arrival and Departure Notice.

2. If an item is not applicable to the employee or dependent(s) being reported, insert "N/A" following the item number.

3. All Arrival and Departure messages must be marked "PERSONAL INFORMATION."

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ARRIVAL NOTICES

ITEMS CONTENT

SUBJECT Type ARRIVAL NOTICE and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent Of" in front of the employee's name. (For employees in EPAP positions, type the employee's name, EPAP.)

REFERENCE If "REFERENCE" is for a correction to a previous notice, state cable number and date.

ITEM 1 CATEGORY OF EMPLOYEE:

- a. AID Foreign Service
- b. Expert or Consultant
- c. Participating Agency (name of agency)
- d. Detail from other Agency (name of agency)
- e. Civil Service (AID/W employee)

ITEM 2 DATE FIRST ARRIVED AT PRESENT POST

ITEM 3 DATE AND PLACE FROM WHICH TRAVEL BEGAN

ITEM 4 DATE ARRIVED OVERSEAS ON CURRENT TOUR OR TDY ASSIGNMENT

ITEM 5 HOME LEAVE ELIGIBILITY DATE

Home Leave Eligibility Date (HLED) is 18 months after date first arrived overseas on current tour or detail assignment; tour of duty is normally 24 months. Leave taken in the U.S. extends HLED but not the tour of duty. Such leave is reported by cable only when receipt of authorized home leave travel orders will cause the employee to be in violation of 18 months continuous service abroad statutory requirement. (Refer to HB 27, Ch. 5 for methods of computing continuous service abroad.)

ITEM 6 END OF TOUR DATE

ITEM 7 TRAVEL AUTHORIZATION NUMBER AND DATE

ITEM 8 PURPOSE OF TRAVEL:

- a. Initial Assignment
- b. Detailed from (specify post)
- c. Midtour Transfer (specify post)

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- d. Direct Transfer from (specify post)
- e. Home Leave and Transfer from (specify post)
- f. Return from Home Leave
- g. Return from Consultation, AID/W
- h. Return from Travel at Personal Expense
- i. Return from Detail at (specify where)
- j. Other (specify)

ITEM 9 **PERSONS TRAVELLING:**

- a. Employee Only
- b. Dependent(s) Only
- c. Employee and Dependents

ITEM 10 **DEPENDENT INFORMATION:**

a. **Dependents Arriving Post This Trip:**

Names of dependents, relationship, and ages of children. For the purpose of this notice, include as a dependent any person who arrived in the country of assignment as a result of the employee's assignment (regardless of whether or not travel was at Government expense). Dependents must be listed on OF-126.

b. **Total Number Of Dependents At Post:**

ITEM 11 **MISSION DEPARTURE DATE** (may or may not differ from End Of Tour (EOT) date which is normally 24 months from arrival at present post date)

ITEM 12 **FURTHER EXPLANATIONS** - Item 12 should be used for any additional comments regarding the Arrival Notice. (e.g. - language incentive payments; For a detailed explanation of these payments, see HB 28, Ch.4)

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SAMPLE OF ARRIVAL NOTICE CABLE

SUBJECT: ARRIVAL NOTICE - John Roe; BS-02; 277304598
SSN: [REDACTED]

REFERENCE:

PERSONAL INFORMATION

- 1.a. **Category of Personnel: AID Foreign Service Employee**
2. **Date First Arrived at Present Post: 07/11/87**
3. **Date and Place From Which Travel Began: Left Washington, D.C. on 02/03/88**
4. **Date Arrived Overseas on Current Tour: 02/05/88**
5. **Home Leave Eligibility Date: 08/04/89**
6. **End of Tour Date: 02/04/90**
7. **TA # and Date: TA #: 279-88-020, dated 11/29/87**
- 8.f. **Purpose Of Travel: Return from Home Leave**
- 9.a. **Persons Travelling: Employee Only**
10. **Dependent Information: N/A**
11. **Mission Departure Date: 02/04/90**
12. **Further Explanations: N/A**

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DEPARTURE NOTICES

- | <u>ITEMS</u> | <u>CONTENT</u> |
|------------------|---|
| SUBJECT | Type <u>DEPARTURE NOTICE</u> and Employee's Name, Backstop Number, Position Sequence Number and Social Security Number. If dependent(s), insert "Dependent(s) of" in front of employee's name. (For employees in EPAP positions, type name, EPAP.) |
| REFERENCE | If "REFERENCE" is for a correction to a previous notices, state cable number and date. |
| ITEM 1 | <u>CATEGORY OF EMPLOYEE:</u> <ul style="list-style-type: none"> a. AID Foreign Service b. Expert or Consultant c. Participating Agency (name of agency) d. Detail from Agency (name of agency) |
| ITEM 2 | <u>DEPARTURE DATE</u> |
| ITEM 3 | <u>ESTIMATED TIME OF ARRIVAL (ETA) AT:</u> <ul style="list-style-type: none"> a. Overseas Post b. U.S. Destination c. AID/W (for consultation or other purpose; state number of days approved and cite message of approval) |
| ITEM 4 | <u>TRAVEL AUTHORIZATION NUMBER AND DATE</u> |
| ITEM 5 | <u>PURPOSE OF TRAVEL:</u> <ul style="list-style-type: none"> a. Home Leave and Return to Post b. Home Leave and Transfer to (specify post) c. Midtour Transfer (specify post) d. Direct Transfer to (specify post) e. Separation f. Detail to (specify post) g. TDY, AID/W h. Travel at Personal Expense (explain in Item 16) i. Other (specify) |
| ITEM 6 | <u>PERSONS TRAVELLING:</u> <ul style="list-style-type: none"> a. Employee Only b. Dependents Only c. Employee and Dependents |

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ITEM 7 DEPENDENT INFORMATION:

a. Dependents Departing Post This Trip

Names of dependents, relationships, and ages of children. For the purpose of this notice, include as a dependent any person traveling who is present at post because of employee's assignment there, whether or not dependent traveled at Government expense. Dependents must be listed on OF-126.

b. Total Number of Dependents Who Remain At Post

ITEM 8 LEAVE OR STOPOVERS EN ROUTE

Explain as in Item 3 (this item is not applicable for personal expense trip)

ITEM 9 AUTHORIZED AID/W CONSULTATION - NUMBER OF APPROVED DAYS AND CITE APPROVAL MESSAGE

ITEM 10 EMPLOYEE'S LEAVE RECORD:

- a. Accumulated leave ceiling: _____ hours as of _____ date
- b. Annual Leave: _____ hours as of _____ date
- c. Sick Leave: _____ hours as of _____ date
- d. Home Leave: _____ hours as of _____ date

e. Annual leave approved for use while away from post:

- 1. En route to U.S.: _____ hours
- 2. While in U.S.: _____ hours
- 3. En route to post: _____ hours

f. Home leave approved: _____ workdays

ITEM 11 ADDRESS(ES) AND TELEPHONE(S) WHERE EMPLOYEE MAY BE REACHED WHILE ON LEAVE IN U.S.

ITEM 12 ESTIMATED TIME OF ARRIVAL AT POST ON RETURN TRIP

ITEM 13 DATE SIGNED "OVERSEAS RETURN CERTIFICATE" WILL BE SENT. In all cases of home leave, transfer to an overseas post, or home leave and return to post, employee must sign this certificate (Form AID 4-312, Supp. 5C).

ITEM 14 INDICATE DATE AND PLACE OF PHYSICAL EXAMINATION(S)

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ITEM 15 DISPOSITION OF EMPLOYEE'S EFFECTS:

- a. Left in Quarters
- b. Loose Packed and Held
- c. Packed, Segregated and Held
- d. Shipped (if shipped, give budget allowance/appropriation symbol)

ITEM 16 FURTHER EXPLANATIONS - Item 16 should be used for any additional comments regarding the Departure Notice. (e.g. - terminate language incentive payments; see HB 28, Ch.4)

NOTE: Language Incentive Payments are terminated at the end of the pay period in which actual departure occurs. Please refer to HB 28, Ch. 4. for more information on Language Incentive Payments.

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SAMPLE OF DEPARTURE NOTICE CABLE

PERSONAL INFORMATION

SUBJECT: Departure Notice - John Doe; BS-10; 987640970
SSN: [REDACTED]

REFERENCE:

- 1.a. Category of Personnel: AID Foreign Service
2. Departure Date: 09/15/88
- 3.b. Estimated Time of Arrival: ETA U.S.: 09/17/88
- c. AID/W: 10/07/88
4. TA # and Date: TA #: 7671-84-AID, 08/29/88
- 5.a. Purpose of Travel: Home Leave and Return to Post
- 6.a. Persons Travelling: Employee Only
7. Dependent Information: None
8. Leave or Stopover En Route: None
9. Authorized AID/W Consultation: Five days
consultation on AID/W authorized per State
151688
10. Employee Leave Record:
 - a. Leave Ceiling: 360 hours as of 06/18/88
 - b. Annual Leave: 331 hours as of 06/18/88
 - c. Sick Leave: 1738 hours as of 06/18/88
 - d. Home Leave: 99 days as of 06/18/88
 - e. Annual Leave Approved:
 1. En route to U.S.: 0 hours
 2. While in U.S.: 0 hours
 3. En route to post: 16 hours
 - f. Home Leave Approved: 41 workdays
11. Address Where Employee Can Be Reached:
Mailing Address in the U.S.: 997 Skyhill Rd. #43;
Alexandria, Va. 20036; 703-555-1212
12. ETA at Post on Return Trip: 12/07/88
13. Date Signed "Overseas Return Certificate" forwarded:
08/29/88
14. Date and Place Physical Exams Taken: Employee's
physical examination was taken at post and results
forwarded to M/MED on 07/06/88
15. Disposition of Effects: a. left in quarters
16. Further Explanations: Stop language incentive payments

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SUPPLEMENT 5C

OVERSEAS RETURN CERTIFICATE

Employee's Name (Last, First, Middle Initial) Please Type or Print

I. Home Leave Repayment Agreement

I understand that home leave benefits, by law, are accorded only to employees who are to return to service abroad either (1) upon completion of home leave; or (2) upon completion of an assignment in the United States. I understand and agree, therefore, to the following:

A. If I do not return to service abroad after this leave in the United States and I separate from the AID foreign service for personal reasons not acceptable to the Agency, I must repay to AID the salary I received during the home leave period and excess costs, if any, incurred for travel to home leave residence in lieu of separation residence. Additionally, if upon return to post, I do not serve at least six (6) months of my tour I must repay to AID all transportation costs connected with home leave and the home leave taken will be charged to annual leave (3 FAM 456).

Funds covering payment of annually leave to my credit will be applied to the repayment. If the amount to be repaid exceeds any funds for the annual leave credit, any other monies due me from the Government may be applied to such repayment. If the funds for annual leave to my credit combined with all other monies due me from the Government are inadequate to cover the repayment, I will be required to pay the balance due.

B. If the Agency determines while I am on home leave that I am not to be retained in the foreign service, my home leave will cease on the date on which I receive written notification that I am not to be continued in the foreign service. In that event, I request that I be placed on annual leave or on leave without pay, as appropriate under the Agency's leave regulations, pending separation or return to active duty status prior to separation.

C. I understand that not less than 20 workdays of home leave must be taken in order to be eligible for U.S. Government sponsored home leave. This provision applies to both employee and their dependents. Exceptions must be approved in advance, and exceptions are granted to employees only - exceptions will not be granted for dependents. This provision applies to the employee and family members. Exceptions based on needs of the Service may be made for employee only by PFM/PRM/ACD, PFM/PRM/ERD, or by IG/RM. Refer to Supp. D of this chapter and HB 27, Chapter 5 for additional information on Home Leave regulations.

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II. Necessary Clearance for Reassignment

A. Examinations

1. At Post

Where possible, medical examinations of employees and their dependents are completed 60 to 90 days before leaving post for home leave.

2. In the United States

When examinations cannot be completed at post or when additional medical procedures are found to be necessary, it is my responsibility to obtain the necessary examinations for myself and my dependents as soon as possible after return to the United States. If this is not done, and if medical clearances for overseas assignment for myself or my dependents who will accompany me to post are thereby delayed beyond the scheduled departure date, such delay must be charged to leave (including LWOP if necessary). In that event, I request that I be placed on annual leave and then on leave without pay, if necessary, until AID determines that I may return to post or takes other official action concerning my status.

B. Medical Clearance Requirement and Administrative Alternatives

1. Clearance

I understand that medical clearance, both for myself and my accompanying dependents, is a primary requisite to return to overseas service. I understand also that no clearance can be presumed, but that it must be communicated to me either by the Medical Division of the Department of State or by the Agency.

2. Waiver of Clearance Requirement (Employee or Dependent)

I understand that if clearance is not granted by the Medical Division, the Agency may, in its discretion, waive the requirement of medical clearance if Agency need for my services at the proposed post clearly is justified and if risk to the affected person is not considered unduly hazardous. If waiver is granted, the medical benefits of the Foreign Service Act continue.

Administrative waiver of in-service medical examination and clearance classification for dependent(s) is granted only on the grounds of religious conviction (3 FAM 680). The waiver must be granted prior to travel overseas.

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3. Return Travel to Post

I understand that return travel overseas, regardless of any authorization previously issued at post, must not be performed until I receive notice of medical clearance or Agency waiver for myself and each accompanying dependent under B.1 or 2 above. I further understand that proceeding overseas without a valid medical clearance for myself and/or eligible dependent(s) will result in forfeiture of medical benefits under the Medical and Health Program (3 FAM 680).

I understand that the return portion of any tickets or other travel documents are the property of the United States Government and I must surrender these to AID/W if return travel is not authorized under an appropriate section of B. above.

Signature _____ Date _____

Copies:

1. Original mailed with copy of departure telegram for official personnel folder.
2. To employee.
3. Post personnel file.

TRANSMITTAL MEMORANDUM CHECKSHEET FOR HANDBOOK 32

32:1	_____	32:26	_____	32:51	_____
32:2	_____	32:27	_____	32:52	_____
32:3	_____	32:28	_____	32:53	_____
32:4	_____	32:29	_____	32:54	_____
32:5	_____	32:30	_____	32:55	_____
32:6	_____	32:31	_____	32:56	_____
32:7	_____	32:32	_____	32:57	_____
32:8	_____	32:33	_____	32:58	_____
32:9	_____	32:34	_____	32:59	_____
32:10	_____	32:35	_____	32:60	_____
32:11	_____	32:36	_____	32:61	_____
32:12	_____	32:37	_____	32:62	_____
32:13	_____	32:38	_____	32:63	_____
32:14	_____	32:39	_____	32:64	_____
32:15	_____	32:40	_____	32:65	_____
32:16	_____	32:41	_____	32:66	_____
32:17	_____	32:42	_____	32:67	_____
32:18	_____	32:43	_____	32:68	_____
32:19	_____	32:44	_____	32:69	_____
32:20	_____	32:45	_____	32:70	_____
32:21	_____	32:46	_____	32:71	_____
32:22	_____	32:47	_____	32:72	_____
32:23	_____	32:48	_____	32:73	_____
32:24	_____	32:49	_____	32:74	_____
32:25	_____	32:50	_____	32:75	_____