

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-362-96-5	DATE RECEIVED 12-19-95
1 FROM (Agency or establishment) Corporation for National Service		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Procurement and Management Services		In accordance with the provisions of 44 U.S.C. 3303a the disposition request including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Administrative Services Division		DATE	ARCHIVIST OF THE UNITED STATES
4 NAME OF PERSON WITH WHOM TO CONFER Evelyn D. Grimes	5 TELEPHONE 606-5000 ext.407		

6 AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required,  is attached, or  has been requested.

DATE 12/13/95	SIGNATURE OF AGENCY REPRESENTATIVE <i>Evelyn D. Grimes</i>	TITLE Management Analyst
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	(SEE ATTACHED)		

# PERSONNEL

1. Official Personnel Staff Folders (OPFs)

(NC 174-189 item 161)

*Supervisory Activities*

These files contain all official documentation of ACTION staff employment. This includes Headquarters personnel and staff assigned to regional and state offices.

a. Separated employees.

Folders of separated employees will be placed in an inactive file and transferred to National Personnel Records Center (NPRC) St. Louis, Missouri, 30 days after separation. NPRC will destroy 65 years after separation from Federal Services.

b. Transferred employees.

See Federal Personnel Manual (FPM) for instruction relating to employees transferring to another agency.

2. Service Record Cards

GRS 1/2

Service Record Card (Standard Form 7 or equivalent).

a. Cards for employees separated or transferred on or before December 31, 1947.

Transfer to NPRC (Civilian Personnel Records (OPR), St. Louis, MO. Destroy 60 years after earliest personnel action.

b. Cards for employees separated or transferred on or after January 1, 1948.

Destroy 3 years after separation or transfer of employee.

3. Personnel Correspondence Files

GRS 1/3

Correspondence reports and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

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4.	<u>Offers of Employment Files</u>	GRS 1/4	Chron/Numerical
	Correspondence including letters and telegrams offering appointments to potential employees.		
	a. Accepted offers.	Destroy immediately.	
	b. Declined offers:		
	(1) When name is received from certificate of eligible.	Return to OPM with reply and application.	
	(2) Temporary or excepted appointment.	File with application (see item 15 of this schedule).	
	(3) All others.	Destroy immediately.	
5.	<u>Certificate of Eligible Files</u>	GRS 1/5	Chron
	Copies obtained from Office of Personnel Management (OPM) or certificates of eligible with related requests, forms, correspondence, and statement or reasons for passing over a preference eligible and selecting a non-preference eligible.	Destroy when 2 years old.	
6.	<u>Employee Record Cards</u>	GRS 1/6	Alphabetical
	Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).	Destroy on separation or transfer of employee.	
7.	<u>Position Classification Files</u>	GRS 1/7	Chron
	a. Position Classification Standards Files.		
	(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.	Destroy when superseded or obsolete.	Numerical
	(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.		

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(a) Case file

Destroy 5 years after position is abolished or description is superseded.

(b) Review file.

Destroy when 2 years old.

b. Position Descriptions

Record copy of position description which includes information on title, series, grade, duties and responsibilities, and related documents.

Destroy 2 years after position is abolished or description superseded.

c. Survey Files

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

(2) Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits and evaluations.

Destroy when obsolete or superseded.

d. Appeals Files

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

(2) Certificate of classification issued by OPM.

Destroy after affected position is abolished or superseded.

8. Employee Awards Files

GRS 1/12

a. General awards records EXCLUDING those relating to departmental level awards.

(1) Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and noncash awards,

Destroy 2 years after approval or disapproval.

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within-grade merit increases, suggestions, and outstanding performances.

- (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old.

- b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and list of awardees.

Destroy when 1 year old.

- c. Letters of commendation and appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder (OPF).

Destroy 6 months after transfer or separation of employee.

9. Interview Records.

GRS 1/8

Correspondence, reports and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

10. Performance Rating Board Case Files

GRS 1/9

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

11. Temporary Individual Employee Records

GRS 1/10

All copies of correspondence and forms maintained on the left side of the OPF in accordance with FPM, Chapter 293, and Supplement 293-31, EXCLUDING performance-related records.

Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. See item 23 of the schedule for disposition of temporary performance-related records.

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12. Incentive Awards Program Reports GRS 1/13  
Reports pertaining to the operation of the Incentive Awards programs. Destroy when 3 years old.
13. Notifications of Personnel Actions GRS 1/14  
Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separations, exclusive of the copy in the OPF.
- a. Chronological file copies, including fact sheets, maintained in personnel offices. Destroy when 2 years old.
- b. All other copies maintained in personnel offices. Destroy when 1 year old.
14. Personnel Applicant Files (NC 174-189 item 164)  
Files of individual SF 171's which are retained to be used if a vacancy occurs. Personnel will return forms to applicants after a predetermined period of time.
15. Employment Applications  
Applicants (SF 171 and related records), EXCLUDING records relating to appointments requiring Senatorial Confirmation and applications resulting in appointments which are filed in the OPF. Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the FPM Chapter 333, Section A-4, are observed.
16. Correspondence and Forms Files GRS/1/17  
Operating personnel office records relating to individual employees not maintained in OPF's and not provided for elsewhere in this schedule.
- a. Correspondence and forms relating to pending personnel actions. Destroy when action is completed.
- b. Retention registers
- (1) Registers used to effect reduction-in-force actions. Destroy when 3 years old.

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- (2) Registers from which no reduction-in-force actions have been taken. Destroy when superseded or obsolete.
- c. All other correspondence and forms. Destroy when 6 months old.
17. Employee Assistance Health Record (NC 362-75-7 item 1)  
Health records maintained under the Employment Assistance Program which serve as resource material for medical personnel or counseling personnel. Contains form HSM-55. Personnel will place record in inactive file upon employee separation from agency. Destroy 1 year after separation or transfer of employee.
18. Employee Occupational Injury and Illness Reports (NC-362-77-3 item 4)  
These files consist of reports of occupational injuries and illness and medical reports on ACTION staff employees who have had job-related injuries or illness. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.  
The records are maintained in order to provide data required by the Occupational Safety and Health Administration, Department of Labor.
19. Individual Non-Occupational Health Record Files GRS 1/19  
Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Governmental health facilities, for non-work related purposes, EXCLUDING records covered by item 21 of this schedule. Destroy 6 years after date of last entry.
20. Employee Performance File System Records GRS 1/23  
a. Non-SES appointees

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(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary ratings. of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23B (2) of the GRS.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC is employee leaves Federal service (see item 1b

(b) All other performance ratings and plans.

Destroy when 5 years old, or when no longer needed, whichever is sooner.

(3) All other performance appraisals, (along with job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal.

(4) Supporting documents.

Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.

### 21. Financial Disclosure Reports

GRS 1/24

a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (9PL-95-521).

(1) Records, including SF 278A, for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

(2) All other records including SF 278A EXCEPT those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

Destroy when 6 years old;

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- b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

## 22. Equal Employment Opportunity Records

GRS 1/25

- a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.

Destroy 4 years after resolution of case.

- b. Copies of Complaint Case Files

Duplicate case files or documents pertaining to case files retained in Official File Discrimination Case Files.

Destroy 1 year after resolution of case.

- c. Background Files.

Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case.

## 23. Merit Promotion Files

(NC 174-189 item 163)

Correspondence regarding merit promotion with employees and supervisors. These are filed on the left side of the Official Personnel Folder.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

## 24. Minority Complaint Case Files

(NC 362-75-1 item 9)

This is a full documentation of the minority complaint cases.

- a. Remove cases from current file. FRC will hold 5 and destroy.

- a. Cases resolved by ACTION.

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b. Cases resolved OPM

b. Cases resolved will be retained by OPM and the official case file will be disposed of according to OPM Records Control Schedule.

c. All other offices destroy 1 year after final adjustment.

25. Employee Relations Case Files

(NC 174-189 item 166)

These files consist of adverse actions, background material, and correspondence. These files are based on disciplinary or adverse actions taken against an ACTION employee. Arranged in 2 tabbed folders, one considered the office file and the other the appeal file. Both files are essentially the same.

Destroy 4 years after case is closed.

26. Employee Relations Grievances Case Files

(NC 174-189 item 167)

These files are arranged alphabetically by employee name and contain all the related documentation of the grievance and the action taken. These cases are initiated by the employee who is complaining of working conditions and hours. These cases usually are settled in the office.

- a. The Personnel Division will hold 3 years after close of case and destroy.
- b. All other offices will hold 2 years after close of case and destroy.
- c. All other offices destroy 1 year after final adjustment.

27. Equal Employment Opportunity (EEO) Files

(NC 362-75-2 item 1)

This is usually a case file documenting a complaint. May also contain request for information and related matters relative to minorities.

Regional Offices will place ACTION resolved cases in a closed file and hold for 2 years. Destroy 4 years after resolution of case.

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28. Incentive Awards Program Files

These files are arranged by name of award, such as Sustained Superior Performance, Distinguished Voluntary Service, Arthur Fleming Award, etc.

(NC 174-189 item 165)

- a. The Personnel Division will hold 2 years and destroy.
- b. The Personnel Division will file a copy in the employee's OPF on the left side. When employee leaves the agency, the copy will be removed and destroyed.

29. Labor Relations Case Files

These files consist of Union correspondence of a general nature, backup material of labor relations policy, and drafts of labor relations policy orders.  
NOTE: These files are not the hearing or transcript files.

(NC 174-189 item 168)

- a. The Personnel Branch will hold 5 years after completion of case and destroy.
- b. All other offices will hold 2 years after final resolution of case.

30. Labor Relations Hearing Files

These files consist of hearings and transcripts and a history file of the case usually related to a specific union activity.

(NC 174-189 item 178)

- a. The Labor and Employee Relations Branch will destroy 5 years after final resolution of case.
- b. All other offices will hold 2 years after close of case and destroy.

31. Personnel Applicant File (Regional)

Files of individual SF 171's which are retained to be used if a vacancy occurs.

(NC 174-187 item 16)

Regional Offices will return forms to applicant, if so requested, or applications will be destroyed 30 days after a selection has been made.

32. Personnel Security Clearance Files

These files contain a record of investigations of personnel employed by ACTION or persons seeking employment with ACTION.

(NC 174-189 item 170)

Destroy when 3 years old.

Investigative reports conducted by the FBI and OPM are returned to originator. ACTION investigative reports remain with the case.