

**REQUEST FOR RECORD DISPOSITION AUTHORITY**  
(See Instructions on reverse)

10/15/81

TO **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)  
Department of the Navy

2 MAJOR SUBDIVISION  
Chief of Naval Operations (Op-09B1)

3 MINOR SUBDIVISION  
Navy Civilian Personnel Command

4 NAME OF PERSON WITH WHOM TO CONFER  
Ens. C. Culbertson  
Mrs. M. Daymude

5 TEL EXT  
695-1925

LEAVE BLANK	
JOB NO	NC1-NU-82-1
DATE RECEIVED	October 15, 1981
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3203a, the disposal request, including commitments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	Agent of the United States

*W. A. [Signature]*

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

- A** Request for immediate disposal.
- B** Request for disposal after a specified period of time or request for permanent retention

C DATE OCT 06 1981	D SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E TITLE Director, Naval Records and Information Management Division
-----------------------	--	--

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p align="center"><u>CHAPTER 12</u> <u>CIVILIAN PERSONNEL RECORDS</u> SSIC 12000-12999</p> <p>The records described in this chapter relate to the administration of civilian personnel functions throughout the Department of the Navy. The format used for this series follows that of the Federal Personnel Manual (FPM) issued by the Office of Personnel Management (OPM), and not necessarily that of the remainder of this directive. Therefore additions and deletions are made in accordance with the FPM</p>	<p>SECNAV INST P5212.5C (12000)</p>	

CHAPTER 12

CIVILIAN PERSONNEL RECORDS

SSIC 12000 - 12099  
-----

CIVILIAN PERSONNEL RECORDS (GENERAL)

(1) PRIMARY PROGRAM RECORDS: general correspondence files including reports and other papers, of the Assistant Secretary of the Navy (Manpower<sup>and</sup> Reserve Affairs ~~and Logistics~~) and the Office of Civilian Manpower Management that document the development, establishment, and execution of policies, plans and procedures for the organization and administration of civilian manpower management functions.

Permanent. Transfer to Federal Records Center (FRC) when 3 years old. Offer to National Archives (NARS) when 20 years old.

(2) GENERAL CORRESPONDENCE FILES: the official (green) outgoing correspondence; the incoming correspondence; and other background material relating to personnel operations and procedures.

Destroy when 3 years old. (GRS 1(3)(a).)

SSIC 12200-12299  
-----

PERSONNEL PROVISIONS RECORDS (GENERAL)

SSIC 12210

BASIC CONCEPTS AND DEFINITIONS RECORDS (GENERAL)

(1) BASIC CONCEPTS AND DEFINITIONS of personnel provisions.

Destroy when superseded or obsolete.

SSIC 12211

VETERANS PREFERENCE RECORDS

(1) RECORDS PERTAINING TO ENTITLEMENT TO PREFERENCE, administration of preference and preference preserved, lost, or changed.

File on right side of official Personnel Folder (OPF).

SSIC 12212

COMPETITIVE SERVICE AND COMPETITIVE STATUS

(1) RECORDS RELATING TO THE EXTENT OF COMPETITIVE SERVICE AND VARIATIONS, the effect of incumbent and legislation on position.

File on right side of OPF.

(2) ELIGIBILITY, DETERMINATION AND CANCELLATION OF COMPETITIVE

File on right side of OPF.

STATUS.

SSIC 12213

EXCEPTED SERVICE RECORDS

(1) CORRESPONDENCE AND REPORTS, MEMORANDA, and other records relating to employment programs and functions of excepted positions.

Destroy when 5 years old.  
(GRS 1 (3)(a).)

SSIC 12230

ORGANIZATIONS OF THE GOVERNMENT FOR PERSONNEL MANAGEMENT RECORDS

(1) RECORDS RELATING TO PLANNING, ORGANIZING, DIRECTING COORDINATING, AND CONTROLLING ALL PERSONNEL management programs conducted within the Department of the Navy.

Apply par. 12000(1).

SSIC 12250

PERSONNEL MANAGEMENT IN AGENCIES RECORDS

(1) GENERAL POLICY ON CIVILIAN MANPOWER MANAGEMENT establishing civilian personnel offices policy regarding interservice support and guidelines for logistics support of civilian personnel offices.

Apply par. 12000(1).

SSIC 12251

INTRAMANAGEMENT COMMUNICATIONS AND CONSULTATIONS RECORDS

(1) RECORDS CONSISTING OF WRITTEN COMMUNICATIONS MEETINGS and conferences, special programs, informal techniques and practices.

Apply par. 12000(2).

SSIC 12252

PROFESSIONAL OR OTHER ASSOCIATIONS RECORDS

(1) GENERAL PROVISIONS; Department of the Navy's relationship with professional associations and allotment of dues.

Apply par. 12000(2).

SSIC 12271

DEVELOPING POLICIES, PROCEDURES, PROGRAMS AND STANDARDS RECORDS

(1) PRIMARY PROGRAM RECORDS relating to objectives and concepts of standards development such as classification, qualification and physical standards and the use of personnel measurement methods.

Permanent. Transfer to FRC when 4 years old. Offer to NARS when 25 years old.

SSIC 12272

PERSONNEL POLICY FORMULATION AND PERSONNEL ISSUANCES RECORDS

(1) OFFICIAL ORGANIZATION CHARTS, NARRATIVE HISTORIES AND RELATED RECORDS WHICH DOCUMENTS THE ORGANIZATION AND FUNCTIONS OF THE OFFICE.

(a) Record copy

Permanent. Transfer to FRC when superseded or obsolete. Offer to NARS when 20 years old.

(b) All other copies

Destroy when superseded or obsolete.

(2) DIRECTIVE CASE FILES

(a) Record copy with supporting case file, if any, documenting important aspects of the development of the issuance

Apply par. (1)(a) above.

(b) Working papers and background materials

Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.

SSIC 12273

INSPECTIONS, SURVEYS, AND AUDITS RECORDS

(1) CORRESPONDENCE FILES RELATING TO INSPECTION PROCEDURES AND REPORTS OF INSPECTIONS or related correspondence

Destroy when obsolete or superseded. (GRS 1(7)(c)(1)(b)).

SSIC 12274

CORRECTIVE ACTIONS RECORDS

(1) CASE FILES relating to invalid incumbency of position, wrongful action, or failure to act, restoration after invalid adverse action, recording circumstances and consistency of actions.

Destroy 4 years after case is closed.

SSIC 12275

EVALUATION AND ASSESSMENT OF PERSONNEL PROGRAMS RECORDS

(1) NAVY AND OFFICE OF PERSONNEL MANAGEMENT (OPM) EVALUATIONS OF OF CIVILIAN PERSONNEL MANAGEMENT PROGRAMS:

(a) Reports and related documents as the result of a Navy on-site review.

1. At activities, major claimants and/or other higher echelons. (These reports are essential to CNO (Op-140R) for analyses and assessments).

Destroy upon receipt of a new report

2. At CNO, Op-140R

Destroy when no longer needed for administrative or reference purposes.

(b) Reports and related documents as the result of an activity self-evaluation review.

1. At activities, major claimants and/or other higher echelons.

Retain the last two reports and destroy the oldest upon receipt of a new report or at the end of 4 years, whichever occurs first.

(c) Reports and related documents as the result of an OPM Region "general inspection"

1. At activities, major claimants and/or other higher echelons. (These reports are essential for CNO (Op-140R) analyses and assessments).

Destroy upon receipt of a new report

2. At CNO, Op-140R

Destroy when no longer needed for administrative or reference purposes.

(d) Reports and related documents as the result of an OPM Region "special inquiry".

1. At activities, major claimants and/or other higher echelons

Destroy when 4 years old.

SSIC 12290

PERSONNEL INFORMATION RECORDS - GENERAL

RECORDS DESIGNED TO GUIDE AGENCIES IN THE USE OF AUTOMATED DATA PROCESSING AND PERSONNEL ADMINISTRATION

(1) GENERAL CORRESPONDENCE FILES

Destroy when 3 years old.

SSIC 12291

PERSONNEL REPORTS

(1) RECORDS PERTAINING TO RECURRING REPORTS required by office of Personnel Management to develop, improve, or maintain certain programs such as notification of Personnel Action, EEO Actions plans, etc.

Destroy when 5 years old, or earlier if no longer needed.

SSIC 12292

PERSONNEL DATA STANDARDIZATION RECORDS

(1) RECORDS PERTAINING TO THE STANDARDIZATION OF DATA ELEMENTS in order that identical data in various systems are uniformly identified, defined, coded and sequenced.

Destroy when 5 years old or when superseded which-ever is earlier.

SSIC 12293

PERSONNEL RECORDS AND FILES

(1) THE OFFICIAL PERSONNEL FOLDER OF A CIVILIAN EMPLOYEE OF THE FEDERAL GOVERNMENT DURING HIS OR HER TENURE OF SERVICE WITH THE GOVERNMENT.

(a) Long term (so-called permanent) records which are filed on the right or permanent side of the Folder (SF-66).

1. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service for permanent retention.

a. Transferred employees.

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

b. Separated employees.

Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.

(b) Temporary records which are filed on left side of the Folder.

1. At naval activities in accordance with FPM Supplement 293-31, FPM 293, and CMMI 293.

a. Upon separation of employees by resignation, retirement, removal, or death, or by transfer to another government agency.

Remove temporary material and destroy when final action is completed.

b. For current employees

Destroy when employee is separated or transferred to another agency for unwarranted or unjustified actions which should be removed when that decision is made and letters of cautions, warning, admonishment, reprimand and similar disciplinary actions must not be kept longer than 3 years unless an exception has been granted.

c. Upon separation of employees by transfer to another naval activity or for military service.

Leave the required temporary material in the Folder.

(2) OFFICIAL PERSONNEL FOLDERS FOR NON-CITIZEN EMPLOYEES AT ACTIVITIES LOCATED OUTSIDE THE 50 UNITED STATES AND THE DISTRICT OF COLUMBIA: long term (so-called permanent) records which are filed on the right side of the Folder (SF-66) and temporary records which are filed on the left side of the Folder.

(a) At naval activities in accordance with FPM 293. CMMI 293 and FPM Supplement 293-31.

1. Folders for non-citizen employees under the Canal Zone Merit System

Retain until (but not more than) 2 years after separation and then transfer to National Personnel Records Center (CPR), St. Louis, MO. Destroy 3 years after transfer (NPRC will return SF 3170).

2. All other folders

Transfer to National Personnel Records Center (CPR), St. Louis, MO., 1 year after separation. Destroy 3 years after transfer. (NPRC will return SF 3170.)

(3) OFFICIAL PERSONNEL FOLDERS FOR NON-CITIZEN INDIGENOUS IN-DIRECT-HIRE EMPLOYEES AT ACTIVITIES LOCATED OUTSIDE THE 50 UNITED STATES AND THE DISTRICT OF COLUMBIA: Long term (so-called permanent) records which are filed on the right or permanent side of the Folder (SF-66) and temporary records which are filed on the left side of the Folder.

(a) At naval activities in accordance with FPM-293, CMMI 293 and FPM Supplement 293-31.

Purge and destroy temporary material and transfer folder to NPRC (CPR), St. Louis, MO. 2 years after separation (service of employee no longer utilized by the Naval Establishment). Destroy 3 years after transfer. (NPRC will return SF 3170.)

(4) PERSONNEL SUMMARY CARD RECORDS.

(a) Employee record card (SF-7B).

1. Maintained by operating officials at naval activities in accordance with FPM Supplement 293-31.

Destroy upon transfer or separation, except that form may be transferred with the Official Personnel Folder when employee moves within the Naval Establishment).

(b) Service record card (SF-7).

1. Established and maintained at naval activities in accordance with FPM Supplement 293-31. Cards for employees separated or transferred on or after 1 January 1948.

Destroy 3 years after year of employee's separation or transfer to another agency. (GRS (1)(2)(b)).

(5) LOCATOR FILES CARDS:

1. At naval activities (used to locate employees).

Destroy when employee is separated from activity.

SSIC 12294

AVAILABILITY OF OFFICIAL INFORMATION RECORDS

(1) RECORDS WHICH SET FORTH POLICY, RESPONSIBILITIES AND PROCEDURES for making Department of the Navy records available to the public.

Destroy when superseded or cancelled.

SSIC 12295

PERSONNEL FORMS AND DOCUMENTS RECORDS

OPERATING PERSONNEL OFFICE RECORDS RELATING TO INDIVIDUAL EMPLOYEES NOT MAINTAINED IN OFFICIAL PERSONNEL FOLDERS AND NOT PROVIDED FOR ELSEWHERE IN THIS SCHEDULE (GRS 1(17)).

(1) CORRESPONDENCE AND FORMS RELATING TO PENDING PERSONNEL ACTION.

Destroy when action is completed.

(2) RETENTION REGISTERS

(a) Registers from which reduction in force actions have been taken.

Destroy when 2 years old.

(b) Registers from which no reduction in force actions have been taken.

Destroy when superseded or obsolete.

(3) ALL OTHER CORRESPONDENCE AND FORMS.

Destroy when 6 months old.

SSIC 12296

PROCESSING PERSONNEL ACTION AND DATA RECORDS

(1) NOTIFICATION OF PERSONNEL ACTION, EXCLUSIVE OF THOSE IN OFFICIAL PERSONNEL FOLDERS (GRS 1(14)).

(a) Chronological file copies including fact sheets

1. At naval activities (in accordance with Federal Personnel Manual Supplement 293-31).

Destroy when 2 years old.

(b) All other copies (exclusive of fiscal copies)

1. At naval activities (in accordance with Federal Personnel Manual Supplement 293-31).

Destroy when 1 year old.

SSIC 12297

PROTECTION OF PRIVACY AND PERSONNEL RECORDS

(1) RECORDS WHICH SET FORTH POLICY ON THE PROTECTION OF INDIVIDUAL PRIVACY in regard to personnel records card files maintained with Department of the Navy.

Destroy when superseded or obsolete.

SSIC 12298

FEDERAL WORKFORCE INFORMATION SYSTEM RECORDS

(1) AUTOMATED FILE OF INDIVIDUAL RECORDS FOR MOST FEDERAL CIVILIAN

Destroy when superseded,

EMPLOYEES MAINTAINED BY AGENCY CONTINUOUS INPUT which provide capability for obtaining status or dynamic outputs in a comprehensive and timely manner.

obsolete or no longer needed.

SSIC 12300

EMPLOYMENT RECORDS GENERAL

(1) OFFICE OF PERSONNEL MANAGEMENT (OPM) RECORDS

(a) OPM applications, examinations papers, and related papers for Federal employment in the field.

1. Cancelled or submitted by ineligible applicants, applicants whose eligibility has expired, or applicants on expired eligible registers.

OPM Regional Director for disposal instructions.

(b) Original Office of Personnel Management (OPM) registers and notices to establish or dispose of Office of Personnel Management (OPM) register.

1. Established after open competitive examination for positions in all groups.

Consult appropriate OPM Regional Director for disposal instructions.

(2) CERTIFICATES OF ELIGIBLES FILES: Certificates of eligibles with related requests forms correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old. (GRS 1(5)).

(3) REQUESTS FOR PERSONNEL ACTION: SF-52 and related papers pertaining to actions not consummated (exclude any copies required to be filed as permanent or temporary records in Official Personnel Folder).

Destroy requesting office copies upon completion of action; destroy all other copies after 1 year.

(4) REQUEST FOR CERTIFICATION: Request to the Office of Personnel Management for certification of eligible for OPM registers.

Destroy 2 years after date of certificate.

(5) EMPLOYMENT AND FINANCIAL INTEREST: Statment forms and documents prescribed by SECNAVINST 5370.2E.

Destroy 2 years after employee leaves a position in which a statement is required, or 2 years after employee leaves the agency whichever is earlier.

(6) PROCESSING RECORDS OF INDIVIDUALS SELECTED FOR OVERSEAS EMPLOYMENT: Copies of Travel Order, Rotation Agreement, Overseas Recruitment Requisition (comparable to SF-52), SF-50, statement signed by employee acknowledging receipt and understanding of Statement of

Destroy after 5 years from FOD date at the overseas activity or upon expiration of

Living and Working Conditions for the overseas area, and miscellaneous correspondence developed during processing, (at OCP).

an approved extension to the 5-year foreign service limitation, if applicable.

SSIC 12301

OVERSEAS EMPLOYMENT RECORDS

(1) CORRESPONDENCE, REPORTS, MEMORANDA AND OTHER RECORDS relating to the recruitment and return placement from overseas positions. (See also par. 12300(6)).

Destroy when 5 years old. (GRS 1(3)(b)).

SSIC 12302

EMPLOYMENT IN THE EXCEPTED SERVICE RECORDS

(1) CORRESPONDENCE, REPORTS, MEMORANDA and other records relating to excepted positions.

Destroy when 5 years old. (GRS 1(3)(b)).

SSIC 12304

EMPLOYMENT OF EXPERTS AND CONSULTANTS RECORDS

(1) CORRESPONDENCE, REPORTS, MEMORANDA and other records relating to experts and consultants.

Destroy when 5 years old. (GRS 1(3)(b)).

SSIC 12305

EMPLOYMENT UNDER THE EXECUTIVE ASSIGNMENT SYSTEM

(1) STAFFING AND SELECTION RECORDS including the copy of vacancy announcement and distribution list; qualification standard; rating, ranking and evaluation procedures applied, candidates, evaluation and ratings; SF 171's and supplemental questionnaires on all qualified candidates; supervisory appraisals, obtained membership of any panel/board appointed to review candidates qualifications, promotion certificate (or comparable document); and documentation of notification of selection/nonselection.

Destroy 2 years after a competitive vacancy is filled or until OPM evaluation, whichever occurs first or 2 years after final disposition of discrimination complaint by Department of the Navy.

SSIC 12306

SELECTIVE PLACEMENT PROGRAMS RECORDS

(1) FILES RELATING TO THE PROGRAMS AND POLICY ON HIRING of handi-

Destroy when 3 years old.

capped persons, disabled veterans and rehabilitated offenders.

(GRS 1(3)(a).)

SSIC 12307

TRANSITIONAL AND VETERANS READJUSTMENT APPOINTMENTS RECORDS

(1) FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS including selective placement of veterans programs.

Destroy when 3 years old.  
(GRS 1(3)(a).)

SSIC 12308

STUDENT EMPLOYMENT AND WORK-STUDY PROGRAMS RECORDS

(1) FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS including college programs, special careers (Summer Aid, Intergovernment Affairs Fellowship, stay in school, etc.) programs.

Destroy when 3 years old.  
(GRS 1(3)(a).)

SSIC 12309

HOSTING ENROLLEES OF FEDERAL GRANT PROGRAMS RECORDS  
(See par. 12308.)

SSIC 12310

EMPLOYMENT OF RELATIVES RECORDS

(1) RECORDS GOVERNING THE LEGAL AND REGULATORY FRAMEWORK in the employment of relatives for the Federal Service.

Destroy when obsolete  
or superseded.

SSIC 12311

THE POWER OF APPOINTMENT AND REMOVAL RECORDS

(1) RECORDS DELEGATING AUTHORITY TO OFFICIALS to direct and effect appointments and suspensions of civilian personnel.

(a) Chief of Naval Operations and Commandant, Marine Corps.  
(Files are arranged chronologically; rate of accumulation is 1-3 cubic feet annually)

Permanent. Transfer to FRC when obsolete or superseded. Offer to NARS when 20 years old.

(b) Records of field activities.

Destroy when superseded  
or obsolete.

SSIC 12312

POSITION MANAGEMENT RECORDS

- (1) INTERNAL EVALUATION REPORT Destroy when 3 years old.  
(2) OTHER REPORTS required by SECNAVINST 5210.11 Destroy when 3 years old.

SSIC 12315

CAREER AND CAREER-CONDITIONAL EMPLOYMENT RECORDS

- (1) RECORDS RELATED TO GENERAL ELIGIBILITY of post-audit, definition of noncompetitive, corrective action, career appointment, probationary period and related records. Destroy upon separation or transfer of employee or when 2 years old whichever is earlier.

SSIC 12316

TEMPORARY AND INDEFINITE EMPLOYMENT RECORDS

- (1) RECORDS MAINTAINED BY AGENCY IN THE OFFICIAL PERSONNEL FOLDER so that inspectors may reconstruct the action and a review by them will show qualifications standards used, necessary training and experience and facts which establish the correctness of the action. Apply par. 12293.

SSIC 12330

RECRUITMENT, SELECTION AND PLACEMENT RECORDS (GENERAL)

- (1) INTERVIEW AND EVALUATION RECORDS (EXCLUDING EXAMINATION PAPER FILED IN OFFICIAL PERSONNEL FOLDERS): Notes, etc. made by the interviewer. (GRS 1(8).)

(a) Made on employees who are not selected or who decline employment or on employees who are hired.

1. Merit staffing

Destroy when 2 years old.

2. All others

Destroy 6 months after separation.

- (2) OFFERS OF EMPLOYMENT: Correspondence, letters and telegrams offering appointments to potential employees. (GRS 1(4).)

(a) Accepted offers

Destroy immediately.

(b) Declined offers

1. When name is received from certificate of eligibles.

Return to OPM with reply and application.

2. Temporary or excepted appointment.

File inside application and dispose of in accordance with par. 12330(3).

3. All others.

Destroy immediately.

(3) APPLICATIONS FOR EMPLOYMENT: Applications and related papers excluding (a) records relating to appointments and requiring Senatorial confirmation and (b) applications resulting in appointment filed in the Official Personnel Folder which are retained for future use or required by the Applicant Supply System. (GRS 1(15).)

Destroy upon receipt of OPM report of inspection or when 2 years old, providing requirements of FPM Chapter 333 and CPI 335 are observed.

SSIC 12331

ORGANIZATION FOR RECRUITMENT AND EXAMINING RECORDS

(1) FILES RELATING TO GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS including examination information, job information and employment advisory service

Destroy when 3 years old. (GRS 1(3)(a).)

SSIC 12332

RECRUITMENT AND SELECTION THROUGH COMPETITIVE EXAMINATION RECORDS

(1) RECORDS RELATING TO GENERAL PROVISIONS geographic scope of competition, consideration for appointment recruitment methods, pace, student training and summer employment and short range personnel employment

Destroy when 3 years old.

SSIC 12333

RECRUITMENT AND SELECTION FOR TEMPORARY AND TERM APPOINTMENT OUTSIDE THE REGISTER RECORDS

(See FPM 333 Appendix A.)

SSIC 12334

TEMPORARY ASSIGNMENT OF EMPLOYEES BETWEEN EXECUTIVE AGENCIES, AND STATES, LOCAL GOVERNMENTS, AND INSTITUTIONS OF HIGHER EDUCATION

(1) RECORDS PERMITTING FEDERAL CIVILIAN EMPLOYEES OF EXECUTIVE AGENCIES TO SERVE WITH STATE OR LOCAL GOVERNMENT, etc. without

Destroy after term of temporary appointment or when 2 years old.

Loss of employee rights or benefits.

whichever is appropriate.

SSIC 12335

PROMOTION AND INTERNAL PLACEMENT

(1) NOTIFICATION OF PERSONNEL ACTION (SF 50) documenting promotions and transfer (in and out). (GRS 1(14)).

(a) Chronological file copies material by personnel office.

Destroy when 2 years old.

(b) All other copies maintained in personnel offices.

Destroy when 1 year old.

SSIC 12337

EXAMINING SYSTEM RECORDS

(1) FORMS AND RECORDS such as examination results, ratings, certifications and SF 171, Personal Qualification Descriptions.

Destroy 4 years after separation or transfer of employee.

SSIC 12338

QUALIFICATION REQUIREMENTS RECORDS (GENERAL)

(1) POSITION CLASSIFICATIONS STANDARD FILES (GRS 1(7).)

(a) Standards. CSC standards determining title, series and grade based on duties, responsibilities and qualifications requirements.

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

(b) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and CSC approval or disapproval.

1. Case files:

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

2. Review files:

Destroy when 2 years old.

SSIC 12339

QUALIFICATION REQUIREMENTS (MEDICAL) RECORDS

(1) RECORDS COVERING PLANS, POLICIES AND PROCEDURES for deter-

Destroy when obsolete

mining medical qualification requirements in connection with Federal employment.

or superseded.

SSIC 12340

PART TIME EMPLOYMENT RECORDS

(1) EMPLOYMENT RECORDS related to employment of part-time work force.

Destroy 2 years after separation or transfer of employee.

(2) CIVILIAN PERSONNEL PROMOTION CERTIFICATES, ROSTERS AND RATING SHEETS required by CSC. SSIC 12351

*Destroy when 2 years old provided CSC inspection has been made.*

REDUCTION-IN-FORCE RECORDS

(1) REDUCTION-IN-FORCE: Retention registers, cards and related papers and which reduction-in force actions have been taken, established and maintained in accordance with Chapter 351, Appendix A of the FPM.

All records must be preserved intact for at least 1 year from date of issuance of specific notices to the employees and then destroyed.

SSIC 12352

REEMPLOYMENT RIGHTS RECORDS

RECORDS GOVERNING THE RIGHTS TO REEMPLOYMENT GRANTED TO CIVILIAN EMPLOYEES WHEN THEY TAKE OTHER CIVILIAN EMPLOYMENT SUCH AS TRANSFER TO INTERNATIONAL ORGANIZATIONS OR TRANSFER BETWEEN AGENCIES DURING AN EMERGENCY.

(1) PERSONNEL CORRESPONDENCE AND SUBJECT FILES consisting of correspondence, reports, memoranda or other records relating to reemployment rights.

Destroy when 5 years old. (GRS 1(3)(B)).

SSIC 12353

RESTORATION TO DUTY

(1) RECORDS GOVERNING THE RESTORATION OF EMPLOYEES who sustain a compensable job-related injury or disability.

Destroy when 5 years old (GRS 1(3)(B)).

SSIC 12361

CAREER INTERN PROGRAMS RECORDS

(1) RECORDS OF CAREER INTERN DEVELOPMENT AND EVALUATION from entry level to full performance level (at activity)

Destroy when no longer needed.

SSIC 12362

PRESIDENTIAL MANAGEMENT INTERN PROGRAM RIGHIS RECORDS

(1) RECORDS GOVERNING THE PROCEDURES AND ADMINISTRATION OF THE PRESIDENTIAL MANAGEMENT INTERN PROGRAM established by Executive Order 12008 in August 1977.

(a) Files relating to the general administration and operation of personnel functions including special careers programs and executive development programs.

Destroy when 3 years old. (GRS 1(3)(a)).

SSIC 12400

EMPLOYEE PERFORMANCE AND UTILIZATION RECORDS (GENERAL)

(1) GENERAL CORRESPONDENCE FILES, including reports and other related papers concerning civilian personnel training and development, and the performance and utilization of personnel.

Destroy when 5 years old, or earlier if superseded or obsolete. (GRS 1(30)(c)).

SSIC 12410

TRAINING RECORDS

(See also GRS 1(30).)

(1) ACTIVITY-WIDE TRAINING PLANS: Computer print-outs or other listings covering all learning experiences planned for employees on an annual basis (at preparing activities).

Destroy 5 years after completion of the annual period or when no longer required for activity review and/or analysis purposes.

(2) TRADE TRAINING PLANS: Details of related instructions and work experience requirements of apprentice, shop trainee, helper-to-journeyman, and other on-the-job training programs, including authorizations to establish such programs (at preparing activities and headquarters offices).

Destroy when the training programs are no longer needed or required for reference or programming purposes.

(3) CONTINUOUS RECORDS OF PROGRESS: Continuous records of performance of apprentices and shop trainees in the related instructions and work experience (at preparing activities).

Destroy 1 year after apprentice or shop trainee completes or drops out of the program.

(4) NOTICES AND WARNINGS OF UNSATISFACTORY PERFORMANCE: Written notices and warnings of marginal or unsatisfactory progress of apprentices and shop trainees (at preparing activities).

Destroy when apprentice or shop trainee satisfactorily completes the apprentice or shop trainee year, or 1 year after the individual is dropped from training, whichever is earlier.

(5) WORK EXPERIENCE SCHEDULES: Continuous appraisal which describes the performance of apprentices and shop trainees in each element of the trade (at preparing activities).

Destroy 1 year after apprentice or shop trainee completes the training or is dropped from the program.

(6) QUARTERLY PROGRESS RECORDS: Quarterly appraisals of the performance of apprentices and shop trainees (at preparing activities).

File on permanent side of Official Personnel Folder when apprentice or shop trainee completes the program or is dropped from training.

(7) REQUESTS FOR TRAINING IN NON-GOVERNMENT FACILITIES: All forms and related papers concerning requests for training in non-government facilities (at preparing activities).

Destroy 2 years after completion of all training or until all obligated service requirements have been satisfied, whichever is later.

(8) OBLIGATED SERVICE AGREEMENTS: Documents which set forth the period of obligated service for employee training in non-government facilities. These documents are normally filed on the temporary (left) side of personnel folders but may be filed on the permanent (right) side of the personnel folder if the employee fails to fulfill service obligations (at preparing activities).

Destroy 2 years after fulfillment of service agreement, or file on right side of personnel folder.

(9) PERMANENT TRAINING RECORDS: Advance credit authorizations; records of satisfactory completion of training agreement approved by the CSC; scholarship or award authorization, authorization to accept payments in connection with attendance at meetings; waivers of limitations on training in non-government facilities; cumulative records of training; and correspondence giving recognition for completion of training (at preparing activities).

File on right side of personnel folder.

(10) NOMINATING DOCUMENTS RELATING TO REQUESTS FOR LONG-TERM (120 or more days) TRAINING: Nominating and/or endorsement letters.

Destroy 5 years after completion

transcripts, funding request forms, resume's, and related documents (at preparing activities).

of training.

(11) OTHER FORMS AND CORRESPONDENCE: Forms and correspondence relating to training; routine requests for training information; and documents of a transitory nature which are not authorized for filing on the permanent side of personnel folders (at preparing activities).

Destroy after completion or discontinuance of training.

(12) TRAINING AIDS:

(a) One copy of each manual, syllabus, textbook, and other training aid developed by the activity

Submit SF 115, Request for Disposition Authority.

(b) Training aids from other agencies or private institutions

Destroy when obsolete or superseded.

(13) GENERAL FILE OF NAVY-SPONSORED TRAINING

(a) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.

Destroy when 5 years old, or 5 years after completion of a specific training program.

(b) Background and work papers

Destroy when 3 years old.

(14) EMPLOYEE TRAINING FILES: correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

Destroy when 5 years old, or sooner if superseded or obsolete

(15) COURSE ANNOUNCEMENT FILES: Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.

Destroy when superseded or obsolete.

SSIC 12412

EXECUTIVE DEVELOPMENT RECORDS

(1) SECNAV CAREER FELLOWSHIPS: Documents that contain nominations for SECNAV Career Fellowships which contain employment experience, education background, identifying information, comments on significant professional/civic activities/organizations, data on selected educational institution, training objectives, training through non-government facilities, Summary Request for Support of Long-Term Training, nominee's individual training and development plan, undergraduate college transcript, other transcripts, and other pertinent items in support of the nomination and correspondence containing endorsements of nominees and selection or non-selection by appropriate Assistant SECNAV (used to select SECNAV Career Fellows at initiating activity and receiving activity).

(a) If approved.

Destroy 2 years after notification of

(b) If disapproved.

(2) PERSONNEL CORRESPONDENCE AND SUBJECT FILES relating to executive development programs.

SSIC 12430

PERFORMANCE APPRAISAL EVALUATION RECORDS

(1) OFFICIAL PERFORMANCE RATINGS:

(a) Evaluations and ratings of outstanding, highly satisfactory, satisfactory or marginal performance with supporting documents of justification (processed in accordance with FPM 430, CMMI 430.C and activity instructions).

(b) Performance appraisals of unsatisfactory, recommending reassignment but not removal or demotion

(c) Performance appraisals of unsatisfactory, recommending demotion or removal when such action is not effected

(d) Supplemental forms or material that accompany the DON Appraisal Form and which indicate an employee's strengths, weaknesses or accomplishments

(e) Automated files which contain same or similar information as that contained on the DON Performance Appraisal Form

approval of nominee.

Destroy 1 year after notification of disapproval of nominee.

Destroy when 3 years old.

Upon approval, the DON Performance Appraisal Form indicating such ratings will be placed in a separate envelope and filed in the employee's official personnel folder, or a separate folder will be established for the purpose of retention of performance records. This Employee Performance Folder (EPF) will be retained in the same office (personnel) that maintains the official personnel folders.

Retain for 5 years and place in the EPP or OPF (envelope) as appropriate.

Place in EPF or OPF (envelope) as appropriate and then destroy after the employee has completed 1 year of acceptable performance.

Retain for 1 year; then destroy.

Destroy when 5 years old. (Retention beyond 5 years permissible so long as data is not used in researching a decision affecting an employee where the manual copy

of the appraisal has been or should have been destroyed.)

(2) PERFORMANCE RATINGS RECORDS:

(a) Performance appraisal records maintained under this system at time employee transfers or is resigned.

Destroy within 1 year after employee's departure from federal service or after the employee transfers to another agency. (Because performance appraisals records are not considered permanent in nature, they will not be sent to another agency when an employee transfers nor will they be sent to the National Personnel Records Center when an employee leaves Federal Service.

(b) Current years appraisal forms maintained by supervisor

Upon employee's reassignment, records are forwarded to gaining Civilian Personnel Office (CPO) by losing CPO.

(4) PERFORMANCE RATING DOCUMENTATION needed in connection with probable causes for litigation.

(a) Performance appraisal documentation needed in connection with on-going administrative, quasi-judicial or judicial proceedings.

Destroy when no longer needed in order to properly adjudicate the pending case(s).

SSIC 12432

REDUCTION IN GRADE AND REMOVAL BASED ON UNACCEPTABLE PERFORMANCE RECORDS

Destroy 4 years after case is closed. (GARS 1(31)(b)).

SSIC 12450

EMPLOYEE RECOGNITION AND INCENTIVES RECORDS  
(See also par 5305).

GRS 1(12) and (13) applies.

SSIC 12451

INCENTIVE AWARDS RECORDS  
(See par. 12450.)

SSIC 12452

SUGGESTION SYSTEM RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the Navy beneficial suggestions program, involving program standards, organization, procedures, and awards.

Apply par 12450.

(2) BENEFICIAL SUGGESTION CASE FILES: (See par. 12450.)

SSIC 12470

PERSONNEL RESEARCH PROGRAMS AND DEMONSTRATION PROJECTS  
(RESERVED)

SSIC 12500

POSITION CLASSIFICATION, PAY, AND ALLOWANCE RECORDS - GENERAL

(1) WAGE AND CLASSIFICATION CONTROL CARD RECORDS: progress or or control records reflecting action taken on requests for wage rates and on reports for classification action.

Retain until end of calendar year following that in which action was taken.

(2) RECEIPTS FOR CHECKS:

(a) Divisional check receipts for blocks of checks for operating units.

Destroy when 1 month old.

(b) Receipts for other checks and for savings bonds.

Destroy when 3 months old.

(c) Records of or receipts for checks mailed to employees.

Destroy when 1 year old.

(3) VISIBLE INDEXES OF ALL EMPLOYEES, giving names, divisions, and check distribution code numbers, or other similar information.

Destroy when individual index record is superseded or obsolete.

SSIC 12511

CLASSIFICATION UNDER THE GENERAL SCHEDULE

(1) POSITION CLASSIFICATION FILES

*no underscore*

(a) Position Classification Standards Files.

1. Standards, OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

Destroy 2 years after <sup>position/</sup>series is abolished or ~~series is~~ superseded.

2. Development. OPM drafts of classification standards or memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

a. At CNO (Op-141C)

Destroy 5 years after standard is issued.

b. At participating activities

Destroy when new standard is published.

(b) Position Descriptions.

Files describing established positions including information on title, series, grade, duties and responsibilities.

1. Record copy.

Destroy 5 years after position is abolished or description superseded.

2. All other copies.

Destroy when position is abolished or description superseded.

c. Survey Files.

1. Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Annual Supergrade Position Report.

a. Office of origin.

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

b. Inspection, Audit and Survey Files. Correspondence, memoranda, 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.

Destroy 3 years after case is closed.

SSIC 12512

JOB EVALUATION UNDER FEDERAL WAGE SYSTEMS  
(See par. 12511.)

SSIC 12530

PAY RATES AND SYSTEMS (GENERAL)

(1) RECORDS COVERING THE BASIC POLICIES AND PRINCIPLES of general pay rates and systems, annual reports of pay comparability, special rates for recruitment and retention, and special pay rates.

Destroy when 2 years old.

SSIC 12531

PAY UNDER THE GENERAL SCHEDULE RECORDS

(1) RECORDS GOVERNING POLICIES AND PROCEDURES for determining rate of basic pay, pay adjustments for supervisors, within-grade increase and salary retention.

Apply par. 12532.

SSIC 12532

FEDERAL WAGE SYSTEM RECORDS

(1) JOB GRADING ACTIONS AND APPEALS: correspondence from activities, job description, audit and evaluation reports, organization charts, and other supporting documentation (at CNO (Op-141E) field divisions and preparing activities).

Destroy when occupation is superseded or abolished.

(2) JOB GRADING STANDARDS: OPM draft of job grading standards and pertinent correspondence.

(a) At CNO (Op-141C) field division.

Destroy 5 years after standard is published.

(b) At participating activities.

Destroy when standard is published.

(3) DEPARTMENT OF NAVY SUPPLEMENTARY JOB GRADING GUIDANCE: (NAVSO-P3090's) guidance regarding specialized rating approved for use by activities and related correspondence at CNO Op-141C, NCPC field divisions and other activities.

Destroy when superseded by a published revision.

(4) ILWB GRADING STANDARDS: guidance regarding lithographic and printing jobs in Washington, D.C. area and pertinent correspondence (at CNO (Op-141E), NCPC).

Destroy when standards are abolished or superseded.

(5) WAGE AREA SURVEYS: wage change survey computation forms, specifications, recommendations and related correspondence (at CNO (Op-141E))

Destroy after completion of 1 subsequent full scale wage survey.

(6) AREA SCHEDULE OF WAGES: wage schedules for Navy employees in trades and labor occupation. (lengthy retention period necessary in order to provide OPM's Bureau of Retirement wage information on wage board employees who retired on disability and have other income)

(a) At CNO (Op-14)

Destroy 20 years after superseded.

(b) At activities and NCPC Hdqtrs and Field Divisions

Destroy 5 years after superseded.

(7) CIVILIAN MARINE WAGE SCHEDULES AND INSTRUCTIONS: wage schedules, hours of work and other instruction for civilian marine employees employed on MSC ships and related correspondence (at CNO (Op-141E), COMSC and other MSC activities).

Destroy 20 years after superseded.

(8) ENVIRONMENTAL DIFFERENTIAL PAY: instruction, COMPTGEN and CSC decisions and related correspondence (at CNO (Op-141E) other activities).

Destroy when pertinent EDP category is abolished or superseded with revised instructions.

(9) NOTIFICATION OF AFFIRMATIVE DETERMINATION OF ACCEPTABLE LEVEL OF COMPETENCE FOR GENERAL SCHEDULE WITHIN-GRADE INCREASE: whatever form is used by individual activities (at all activities) and used to notify employees of their acceptable level of competence and to notify civilian personnel offices of such a determination.

Destroy when within grade increase has been effected and employee has been notified.

SSIC 12534

PAY UNDER OTHER SYSTEMS RECORDS

(1) RECORDS COVERING DETERMINATION OF PAY FOR TRAINEES in government hospitals and scientific and professional positions requiring specially qualified personnel.

Apply par. 12532.

SSIC 12536

GRADE AND PAY RETENTION RECORDS

(1) RECORDS COVERING PROCEDURES FOR REDUCTION-IN-GRADE AND CRITERIA FOR GRANTING SAVE GRADE AND PAY. Describe various methods and protection of affected civilian employees.

Apply par. 12532.

SSIC 12539

CONVERSION BETWEEN PAY SYSTEMS RECORDS

(1) RECORDS CONCERNING PAY DETERMINATIONS IN CONVERSION ACTIONS, CONVERSION TO GENERAL SCHEDULE, AND CONVERSION TO PREVAILING RATES AND OTHER PAY SYSTEMS.

Apply par. 12532.

SSIC 12540

MERIT PAY AND CASH AWARDS

(1) MERIT PAY EVALUATION SUMMARY

Upon approval of rating, file in OPF (special folders) or separate employee performance folder (EPF) for 5 years. (Where rating is Outstanding this form will be kept as long as employee remains with DON.)

(2) MERIT PAY OBJECTIVE/PERFORMANCE RECORD SHEET

Forward to personnel office along with merit pay evaluation.

(3) SUMMARY WORKSHEET

Destroy <sup>when</sup> ~~after~~ 1 year <sup>old</sup>.

(4) BASIC PERFORMANCE APPRAISAL RECORDS (GS-12 AND WAGE GRADE EQUIVALENTS)

Upon approval of rating, file in OPF or separate employee performance folder (EPF) for 5 years. (However, outstanding rating are kept as long as employee remains with DON.)

(5) PERFORMANCE APPRAISAL (NON-SES)

(a) Merit pay evaluation summary performance rating record and the basic performance appraisal form for appraising GS-12 and wage grade employees.

Upon approval of the rating, file in OPF (special envelope) or in a separate employee performance folder (EPF) for 5 years. (Where the rating is outstanding, the form will be kept as long as the employee remains in the same position in DON.)

(b) Merit pay objective/performance record sheets

Forward to servicing personnel office along with merit pay evaluation summary record. Destroy 1 year after transfer.

(c) Performance appraisal documentation needed in connection with ongoing administrative quasi-judicial, or judicial proceedings

Retain as long as deemed appropriate, then destroy.

SSIC 12550

PAY ADMINISTRATION RECORDS (GENERAL)

(1) RECORDS covering areas such as premium pay, lump sum payment for annual leave allotments and assignment of pay severance pay, back pay and pay for irregular or intermittent duty involving unusual physical hardship or hazard.

(a) Informational copies of payrolls

Destroy when 4 years old.

SSIC 12551

FAIR LABOR STANDARDS ACT RECORDS

(1) RECORDS PERTAINING TO MANAGEMENT AND PROCESSING OF EMPLOYEE ISSUES related to the implementation of an act.

Destroy when 6 years old.

SSIC 12570

TRAVEL AND TRANSPORTATION RECORDS (GENERAL)

(1) RECORDS AND FORMS (INCLUDING TRAVEL ORDERS, REQUESTS FOR REIMBURSEMENTS TRANSPORTATION REQUESTS AND ASSOCIATED DOCUMENTS) RELATED TO OFFICIAL GOVERNMENT TRAVEL

Destroy when 6 years old.

SSIC 12571

TRAVEL AND TRANSPORTATION FOR PRE-EMPLOYMENT INTERVIEWS AND RECRUITMENT

Destroy when 2 years old.

(1) TRAVEL RECORDS such as travel requests, transportation requests, expenses and per diem associated with pre-employment recruitment and interviews.

SSIC 12591

ALLOWANCES AND DIFFERENTIALS PAYABLE IN NON-FOREIGN AREAS RECORDS

(1) PAY RECORDS governing the establishment and maintenance of allowances and differentials, agencies and employees affected and payment.

Destroy when 4 years old.

SSIC 12592

OVERSEAS ALLOWANCES AND POST DIFFERENTIALS RECORDS

(1) GENERAL CORRESPONDENCE dealing with payment of allowances differentials and living quarters allowances while in foreign areas.

Destroy when 4 years old.

SSIC 12593

SUBSISTENCE, QUARTERS, AND LAUNDRY RECORDS

(1) GENERAL CORRESPONDENCE related to civilian employees stationed outside United States entitled to subsistence rights and commissary, mess and laundry privileges.

Destroy when 4 years old.

SSIC 12594

ALLOWANCES FOR UNIFORMS RECORDS

(1) General correspondence dealing with allowances for uniforms worn by civilian employees working the Department of the Navy and allowances authorized.

Destroy when 2 years old.

SSIC 12595

PHYSICIAN'S COMPARABILITY ALLOWANCE RECORDS  
(RESERVED)

SSIC 12600

ATTENDANCE AND LEAVE RECORDS (GENERAL) (NOT LISTED IN FPM)  
(over)

Destroy when 4 years old.

SSIC 12610

HOURS OF DUTY RECORDS

(1) TIME AND ATTENDANCE: SF-1135, SF-1136 or similar documents used to report employee's time and attendance and maintained in payroll offices.

Destroy when 4 years old.  
(GRS 2(3)(a))

(2) OVERTIME AUTHORIZATION REQUESTS: NAVEXOS 246 or similar form (at all activities and used to officially order or approve overtime).

Destroy when 4 years old.

SSIC 12620

ALTERNATE WORK SCHEDULE RECORDS

(1) DOCUMENTS SHOWING ALTERNATIVE WORK SCHEDULES SUCH AS FLEXTIME AND COMPRESSED SCHEDULES.

Destroy when 2 years old.

SSIC\_12630

ABSENCE AND LEAVE RECORDS

RECORDS COVERING SUCH LEAVE AS COURT, FUNERAL, EXCUSED ABSENCE, LEAVE WITHOUT PAY, AND MATERNITY LEAVE. ALSO COVERED IN THIS SERIES IS SHORE LEAVE FOR PERSONS ON VESSELS, HOME LEAVE FOR PERSONS WORKING OUTSIDE THE UNITED STATES AND MILITARY LEAVE FOR RESERVISTS.

(1) ABSENCE AND LEAVE: all applications for leave and supporting papers, including reports of absence without authority and tardiness reports, such as SF-71 and SF-1150. Used by employees to request leave, by supervisors to approve leave and which are maintained with employees' leave records.

Destroy when 4 years old.

SSIC\_12700

EMPLOYEE RELATIONS AND SERVICES RECORDS (GENERAL)

(1) GENERAL CORRESPONDENCE FILES relating to employee relations and services.

Destroy when 2 years old.

SSIC\_12710

EMPLOYEE RELATIONS RECORDS

(1) COUNSELORS' CASE RECORDS PROVIDING BRIEF INTERVIEWS WITH EMPLOYEES AND PERTINENT PERSONAL DATA: counselor's notes, reports correspondence and related information concerning employee counselec. These are filed alphabetically by name of individual employee at OCP, commands, bureaus, offices and field activities.

Destroy 2 years after close of case.

(2) COUNSELORS' CASE RECORDS, OTHER RECORDS OF EMPLOYEE ASSISTANCE UNDER THE ALCOHOLISM, DRUG ABUSE AND RELATED PROGRAMS: counselors' notes, records, reports, correspondence and related information concerning employee counselec. These are filed alphabetically by name of individual employee at OCP, commands, bureaus, offices

Destroy 2 years after close of case.

SSIC\_12711

LABOR-MANAGEMENT AND EMPLOYEE RELATIONS RECORDS

(1) LABOR RELATIONS GENERAL FILES: correspondence, memoranda, reports and other records relating to the relationship between management and labor organizations (unions).

Destroy when 2 years old.

(2) LABOR RELATIONS BARGAINING UNIT RECORDS: correspondence, memoranda, reports, records, negotiated agreements and case files relating to the relationship between management and unions representing employees in bargaining units.

(a) Activity where unit exists

Retain as long as needed to document history of bargaining relationship, then destroy

(b) Other offices

Destroy when superseded or obsolete.

SSIC 12713

EQUAL EMPLOYMENT OPPORTUNITY RECORDS

(1) DISCRIMINATION COMPLAINT RECORDS

(a) Records created in receipt and processing of individual and class complaints of discrimination by employees or applicants as described by CFR 1613.222 and/or CFR 29 Part 1613 Subpart F.

1. At preparing activities

Destroy 4 years after final administrative disposition unless needed for litigation. (May be transferred to Federal Records Center when 1 year old.)

~~2.~~ At NCPC (09E) Op-14C and EARB

Destroy 3 years after final administrative disposition. (Maybe transferred to Federal Record Center when 1 year old.)

(b) Background documents pertaining to the case but not included in case files and complaint counseling, status, and disposition reports and summaries.

(1) At preparing activities, NCPC (09E), Op-14C and EARB.

Destroy 3 years after final administrative disposition.

SSIC 12715

VOLUNTARY SEPARATION AND REDUCTION IN RANK OR PAY RECORDS

(1) RECORDS CONSISTING OF VOLUNTARY ACTIONS BEING INITIATED BY THE EMPLOYEE that are not subject to procedures covered by par. 12752.

Destroy when 2 years old.

SSIC 12720

AFFIRMATIVE EMPLOYMENT PROGRAM RECORDS

"It is the responsibility of the Department of the Navy or processing activity to maintain the complete case file to include all related records (i.e., merit promotion file) on all discrimination complaint while the complaint is being processed."

(1) MINDRITY AND WOMEN CENSUS REPORTS: census data on minority and women as of 31 March and 30 September.

(a) At NCPC

Destroy 5 years after superseded.

(b) At major commands and activities.

Destroy 3 years after superseded.

(2) PLANNED RESOURCES FOR EEO ADMINISTRATORS: annual planned and allocation of resources.

(a) At (Op14C)

Destroy 5 years after superseded.

(b) At preparing major commands and preparing activities.

Destroy 3 years after superseded.

(3) CERTIFICATION OF QUALIFICATION OF EEO PROGRAM ADMINISTRATOR OFFICIALS: annual certification of EEO officials.

(a) At (OP14C)

Destroy 3 years after superseded.

(b) At preparing major activities and preparing activities.

Destroy 1 year after superseded.

(4) SEMI-ANNUAL NARRATIVE REPORT OF AAP AND SIGNIFICANT ACCOMPLISHMENTS: status of AAP and other significant EEO achievements (at (OP14C), preparing major commands and preparing activities).

Destroy 1 year after superseded.

(5) AFFIRMATIVE ACTIONS PLANS: annual planned action items.

(a) At (OP14C) and preparing major commands. (Agency copy of consolidated AAP) (GRS 1(26)(h)(1).)

Destroy 5 years from date of plan.

(b) At preparing activities. (Agency feeder plan to consolidated AAP(s)) (GRS 1(26)(h)(2).)

Destroy 5 years from date of feeder plan or when administrative purposes have

been served, whichever is sooner.

(6) NUMERICAL GOALS ESTABLISHED: established goals for succeeding FY.

(a) At (OP14C)

Destroy 5 years after superseded.

(b) At preparing major commands and preparing activities.

Destroy 3 years after superseded.

(7) NUMERICAL GOALS ACHIEVED: report of numerical goals program (at (OP14C) preparing major commands and preparing activities).

Destroy 3 years after superseded.

(8) UPWARD MOBILITY PROGRAM REPORT: positions identified and filled during preceding FY, by series, trainee level, and target level.

(a) At (OP14C)

Destroy 5 years after superseded.

(b) At preparing major commands and preparing activities.

Destroy 3 years after superseded.

(9) HANDICAPPED PROGRAM REPORTS

(a) At OP14C

Destroy 5 years after superseded.

(b) At preparing major commands and preparing activities.

Destroy 3 years after superseded.

SSIC 12731

SUITABILITY RECORDS

(1) RECORDS ESTABLISHING REQUIREMENTS FOR EMPLOYMENT BY THE GOVERNMENT concerning character, reputation and fitness of person under consideration.

Destroy 4 years after separation or transfer of employee.

SSIC 12732

PERSONNEL SECURITY PROGRAM

(1) PERSONNEL SECURITY CASE FILES: Adjudications and written reviews; office of Personnel Management and Defense Investigative Service reports of investigation produced under the authority of Executive Order 10450, as amended, or any other security or loyalty program.

(a) At Naval Civilian Personnel Command

Transfer to WMRC when no longer

required for administrative purposes. Destroy 15 years after due date of last action.

(b) At activities

1. Investigative material furnished by office of Personnel Management and Defense Investigative Service

Destroy when purpose is served.

(2) CERTIFICATE OF PERSONNEL INVESTIGATION, CLEARANCE AND ACCESS: OPNAV Form 5520/20 (at activities).

Destroy 2 years after transfer or separation of employee.

SSIC 12733

POLITICAL ACTIVITY OF FEDERAL EMPLOYEES RECORDS (CURRENT FPM)

(1) POLICY AND PROCEDURES GOVERNING PERMISSIBLE AND PROHIBITED ACTIVITIES, POLITICAL CONTRIBUTIONS AND EXCEPTIONS OF CERTAIN ELECTIONS.

Destroy when superseded or obsolete.

SSIC 12735

EMPLOYEE RESPONSIBILITIES AND CONDUCT RECORDS

(1) RECORDS COVERING STATEMENTS OF EMPLOYMENT AND FINANCIAL INTEREST AND CONFLICTS OF INTEREST SUCH AS MISUSE OF INFORMATION, ACCEPTANCE OF GIFTS (Use of government property, bribery and graft, disloyalty and striking.)

(1) STANDARDS OF CONDUCT FILES (GRS 1(28)).

(a) Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

(2) CONFLICT OF INTEREST CASE FILES (GRS 1(25)).

(a) Statement of employment and financial interests and related records.

Destroy when superseded or after separation of employee or after employee leaves the position for which the statement is required.

SSIC 12736

INVESTIGATIONS RECORDS  
(See par. 12732.)

SSIC 12751

DISCIPLINE RECORDS

(1) EMPLOYEE DISCIPLINARY ACTIONS: documents, reports of pre-action investigation and related correspondence on employee disciplinary actions. Filed by name of individual employees other than those disciplinary records that must be filed on the right (permanent) side of employee's Official Personnel Folder.

Destroy when 3 years old.

(2) SURVEYS AND STUDIES: documents and reports relating to general disciplinary matters (at offices, commands, bureaus and activities).

Destroy when 5 years old.

SSIC 12752

RECORDS OF ADVERSE ACTIONS BY AGENCIES

(1) ADVERSE ACTION FILES: (5CFR 752) Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; leaving notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

Destroy 4 years after case is closed.

SSIC 12754

ADVERSE ACTIONS BY THE OFFICE OF PERSONNEL MANAGEMENT  
SSIC 12771  
(See par. 12752.)

EMPLOYEE GRIEVANCES RECORDS

(1) EMPLOYEE GRIEVANCES: the official records of the grievance file including (1) statement of grievance (2) records or copies of records, (3) reports of interviews, (4) the record of the hearing if a hearing is held, (5) fact finder's report of findings and recommendation, if fact finding is conducted, (6) the deciding official's decision, (7) other related correspondence.

Destroy 2 years after case is closed.

SSIC 12772

APPEALS TO THE MERIT SYSTEMS PROTECTION BOARD RECORDS

(1) RECORDS, JUSTIFICATIONS, COMPLAINTS FORMS AND BACKGROUND INFORMATION ASSOCIATED WITH APPEALS SENT TO THE MSPB. CORRESPONDENCE RECEIVED FROM MSPB AND DECISIONS.

Destroy 4 years after final decision is issued.

SSIC 12790

SERVICES TO EMPLOYEES RECORDS

RECORDS COVERING INFORMATION SERVICES, SPECIAL SERVICES, FINANCIAL SERVICES, DECEDENT AFFAIRS AND CIVILIAN NON-APPROPRIATED FUNDS.

(1) EMPLOYEES OF CIVILIAN NAFIs: personnel, pay, health and on-the-job injury records (at the employing NAFI).

Destroy 6 months after separation.

SSIC 12792

FEDERAL EMPLOYEES OCCUPATIONAL HEALTH AND COUNSELING PROGRAM RECORDS

(1) INDIVIDUAL HEALTH RECORDS FILES

Cards which contain such information as date of employee's visit, diagnosis and treatment.

Destroy 6 years after date of last entry.

(2) HEALTH UNIT CONTROL FILES

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

(a) If information is summarized on statistical reports.

Destroy 3 months after last entry.

(b) If information is not summarized.

Destroy 2 years after last entry.

(3) INDIVIDUAL EMPLOYEE HEALTH CASE FILE: Forms correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in Official Personnel Folder (OPF) upon separation of employee (Ref: FPMS 293\_31). Those records not required for filing in the OPF, if not retained by the agency, may be transferred to the local Federal Records Center. (Under no circumstances should these files be sent to the National Personnel Records Center (CPR).)

Destroy 6 years after last entry.

(4) INDUSTRIAL HEALTH (CLINICAL) RECORD (CASE) FILES: industrial health jackets of civilian employees (including non-U.S. citizens) of the Navy or Marine Corps, including copy of Certificate of Medical Examination (SF-78) (original is to be filed in employee's Official Personnel Folder) and certain x-rays as specified in para. 12792(2) below.

Destroy 6 years after latest entry.

(a) Xrays of civilian employees.

Destroy when 5 years old, except that x-ray of positive pathological findings that are not static in nature

one representa-  
tive x-ray of  
those that are  
static in nature  
will be filed in  
and retained with  
employee's indus-  
trial health  
(clinical) jacket.

(b) Industrial health report data sheets (such as NAVMED-576).

Destroy when  
2 years old.

(5) CIVILIAN EMPLOYEE ASSISTANCE PROGRAM RECORDS

(a) Correspondence, records, reports and surveys relating to  
general program administration.

Destroy when 2 years old.

(b) Case files, counseling and referral records and other  
material relating to individual employees.

Destroy 2 years after  
separation of employee.

SSIC 12800

INSURANCE AND ANNUITY RECORDS (GENERAL)

(1) CARRIER COPIES OF HEALTH BENEFITS REGISTRATION FORM (such as  
SF-2807) on non-enrolled employees.

Destroy immediately  
upon receipt.

(2) COPIES OF HEALTH BENEFITS REGISTRATION FORM FOR ELIGIBLE  
EMPLOYEES (used to determine employee eligibility for health  
benefits upon retirement.

File on right side of OPF.

SSIC 12810

INJURY COMPENSATION RECORDS

(1) PERSONAL INJURY FILES: compensation forms reports and related  
medical and investigative correspondence (other than copies in  
Official Personnel Folders and copies submitted to the Depart-  
ment of Labor) relating to on-the-job injuries.

Destroy when 5 years old.

SSIC 12831

RETIREMENT RECORDS

(1) FILE COPIES OTHER THAN COPIES IN OFFICIAL PERSONNEL FILES

Destroy when 3 years old.

SSIC 12832

SOCIAL SECURITY RETIREMENT, SURVIVORS INSURANCE, DISABILITY INSURANCE, AND MEDICARE - RECORDS

(1) GENERAL CORRESPONDENCE FILES

Destroy when 3 years old.

SSIC 12850

UNEMPLOYMENT BENEFITS RECORDS

(1) RECORDS COVERING UNEMPLOYMENT BENEFITS FOR FEDERAL CIVILIAN EMPLOYEES, ELIGIBILITY REQUIREMENTS AND PROCEDURES FOR FILING CLAIMS.

Destroy when 3 years old.

SSIC 12870

LIFE INSURANCE RECORDS

(See par. 12293.)

SSIC 12890

FEDERAL EMPLOYEES HEALTH BENEFITS RECORDS

(See par. 12792.)

SSIC 12910

MOBILIZATION READINESS RECORDS

(1) MOBILIZATION READINESS RECORDS pertaining to emergency procedures in the event of a nuclear attack including reassignment, depression and utilization of personnel.

Destroy when superseded or no longer needed.

SSIC 12915

MILITARY SERVICE OBLIGATION RECORDS

(1) MILITARY SERVICE OBLIGATION RECORDS relating to rescue, obligation of department civilian employees, designation of key federal employee and screening of reservists.

Destroy when superseded by annual screening of ready reserve.

SSIC 12920

SENIOR EXECUTIVE SERVICE RECORDS

(1) STAFFING AND SELECTION RECORDS

(a) Records established and maintained as prescribed by OPNAVINST 12920.1

Destroy 2 years after a competitive vacancy is filled (or until OPM evaluation, whichever occurs first) or 2 years after final disposition of discrimination complaint by Department of the Navy.

(2) SES MEMBERS' PERFORMANCE RECORDS

(a) SES Evaluation summary and objective performance record sheets

Upon approval of rating, file in OPF (special folder) or separate employee performance folder (EPF). Destroy when 15 years old. (If employee leave SES for other than presidential appointment destroy no sooner than 30 days nor later than 1 year from date of separation.)

SSIC 12930

PROGRAMS FOR SPECIFIC POSITIONS OR EXAMINATIONS (MISCELLANEOUS) RECORDS

(1) PROGRAM RECORDS covering special examinations for motor vehicle operations, entrance level, attorney and law clerk positions.

Destroy when 2 years old.

SSIC 12933

QUALIFICATION REQUIREMENTS FOR SPECIFIC POSITIONS RECORDS

(1) POSITION IDENTIFICATION STRIPS: Strips such as SF ID used to provide summary data on each position occupied.

Destroy when position is cancelled or new strip is prepared. (GRS 1(3)(a).)

SSIC 12938

CLASSIFICATION AND PAY OF SPECIFIC POSITION RECORDS

Destroy when position is cancelled or superseded.

SSIC 12971

TRAINING, PROMOTION, AND EXECUTIVE DEVELOPMENT AGREEMENTS WITH SPECIFIC AGENCIES

(1) PERSONNEL CORRESPONDENCE AND SUBJECT FILES:

(a) Files relating to general administration and operation of personnel functions and including training merit promotion and executive development program.

Destroy when 3 years old.

SSIC 12981

DELEGATION OF PERSONNEL AUTHORITIES  
(RESERVED)

SSIC 12990

GENERAL AND MISCELLANEOUS RECORDS

(1) FILES RELATING TO GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS not specifically described elsewhere in the 12000 series, excluding those at agency staff planning levels.

Destroy when 3 years old.

(2) DUPLICATING DOCUMENTATION AND PERSONNEL FILES MAINTAINED OUTSIDE PERSONNEL OFFICES

(a) Supervisor's Personnel Files: Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of positions descriptions; request for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

(b) Duplicate Documentation: Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.

Destroy when 6 months old.