

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

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|--|---|
| LEAVE BLANK | |
| JOB NO NC1-330-80-3 | |
| DATE RECEIVED 2-7-80 | |
| NOTIFICATION TO AGENCY | |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10. | |
| 6-29-83 <i>Date</i> | <i>Robert W. Mer</i> <i>Archivist of the United States</i> |

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

1. FROM (AGENCY OR ESTABLISHMENT)
Office of the Secretary of Defense

2. MAJOR SUBDIVISION
Washington Headquarters Services

3. MINOR SUBDIVISION
Records Management Division

4. NAME OF PERSON WITH WHOM TO CONFER
J. E. Haines

5. TEL. EXT.
695-0970

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 19 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 17 Jan 80 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>James S. Nash</i> James S. Nash | E. TITLE OSD Records Administrator |
|----------------------|--|---------------------------------------|

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|------------|---|----------------------|------------------|
| | DoD Nonappropriated Fund Employee Personnel Records (See attached) | | |

No mass data change sheet required. Copy of job sent to NNM by RAW, 7-1-83. Copy of job sent to agency by RAW, 7-1-83.

71 items

Addendum to Standard Form 115 : Subject: DoD Nonappropriated Fund Employee Personnel Records

DoD Nonappropriated Fund Employee Personnel Records

DoD nonappropriated fund employee personnel records relate to the supervision over and management of such employees. This schedule covers the disposition of all official personnel folders and all other records relating to nonappropriated fund personnel wherever employed by DoD except for those non-U.S. citizens employed outside the United States and its territories. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service for possible permanent retention before these disposition instructions may be applied.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| 1 | <u>NAF Official Personnel Folders</u> "Permanent" records. (See Item 8 for disposal of "temporary" records.) a. NAF employees transferred to another Nonappropriated Fund Instrumentality. b. Separated NAF employees: Folders of all U.S. citizens wherever employed and of all non-U.S. citizens employed within the United States and its possessions. | When an employee is transferred, his folder will be sent directly to the gaining activity. Transfer folder to National Personnel Records Center (CPR), St. Louis, Missouri, 1 year after separation. NPRC will destroy 75 years after birth date of employee (60 years after the date of the earliest document if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later. If re-employed during authorized retention period, forward folder to gaining personnel activity upon request. |

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2. Service Record Cards

Destroy 3 years after separation
or transfer of employee.

3. Personnel Correspondence and
Subject Files

a. Files relating to the general administration and operation of personnel functions and including college programs, selective placement programs, examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.

Destroy when 3 years old.

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- b. Correspondence, reports, memoranda, and other records relating to employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, and employee transfer and detail.
4. Offers of Employment Files
Correspondence, letters, and telegrams offering appointments to potential employees.
- a. Accepted offers. File in OPF.
- b. Declined offers. File with Employment Application. (See item 12)
5. Employee Record Cards
Employee record cards used for informational purposes outside personnel offices
- a. Unless separated by RIF or a removal action, destroy on separation or transfer of employee.
- b. If separated by RIF or a removal action with pending appeal, transfer card to Grievance, Disciplinary, and Adverse Action Files (item 23).

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6.

Position Classification Files

a. Position Classification Standards Files.

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

a. Hq. CPO's: Destroy 5 years after cancellation, revision, or supersession.

b. All other offices: Destroy 6 months after cancellation, revision, or supersession.

(2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency.

(a) Case File.

((1)) Hq. CPO's: Destroy 5 years after cancellation, revision, or supersession.

((2)) All other offices: Destroy 6 months after cancellation, revision, or supersession.

(b) Review File.

Same as (a) above.

b. Position Descriptions.

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

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(1) Record copy.

Destroy 6 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 any periodic reports.

(a) Office of origin.

((1)) If not used as a request for personnel action, destroy when 3 years old, superseded, or upon inactivation, whichever is sooner.

((2)) If used as a request for personnel action, destroy when 2 years old or after a regularly scheduled Department or OPM inspection whichever is sooner.

(b) Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.

Same as (a) above.

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| | d. <u>Appeals Files</u> Case files relating to classification appeals. | Destroy 5 years after final decision or 5 years after any action following decision, whichever is later. |
| 7. | <u>Interview Records</u> Correspondence, reports and other records relating to interviews with employees. | Destroy 6 months after transfer or separation of employee. |
| 8. | <u>Temporary Individual Employee Records.</u> Documents leading to a formal action, but not constituting a record of it nor making a substantial contribution to the employee's record. For example, letters of reference, debt correspondence, performance rating, letters of caution, etc. | Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. |
| 9. | <u>Employee Awards Files</u> | |
| | a. General awards records. | Destroy 2 years after close of year in which final action is taken. |
| | (1) Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. | ↓ |

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- (2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations. Destroy when 2 years old.
- b. Length of Service and Sick Leave Awards File
Records including correspondence, memoranda, 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. Destroy when 2 years old.
- d. Lists or Indexes to Agency Award Nominations.
Lists of nominees and winners, and indexes of nominations. Destroy when superseded or obsolete.

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| 10. | <u>Incentive Awards Program Reports</u> Reports pertaining to the operation of the Incentive Awards Program. | Destroy when 3 years old. |
| 11. | <u>Notifications of Personnel Action</u> Forms documenting employment, promotions, transfer, in or out, separation, and all other individual personnel actions, exclusive of those in NAF Official Personnel Folders. a. Chronological file copies, including fact sheets, maintained in personnel offices b. All other copies maintained in personnel offices | Destroy when 2 years. Destroy when 1 year old. |
| 12. | <u>Employment Applications</u> Applications and related records, EXCLUDING applications resulting in appointment which are filed in the NAF Official Personnel Folder (see Item 1 of this schedule). | Destroy when 6 months. |

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| 13. | <u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel. | Destroy when 2 years old. |
| 14. | <u>Correspondence and Forms Files</u> Operating personnel office records relating to individual employees not maintained in NAF Official Personnel Folders 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 from which reduction-in-force actions have been taken. | Destroy when 2 years old. |
| | (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 |

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d. Wage Administration records that constitute the basis for personnel actions that may require reconstruction at a later date.

Destroy when termination of system life.

15.

Duplicate 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 position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the NAF 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 NAF Official Personnel Folders not provided for elsewhere in this schedule.

Destroy when 6 months old.

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| 16. | <u>Performance Rating Records</u> | |
| | a. Certificates of performance rating. | Destroy when 2 years old. |
| | b. General or case files of forms, memoranda, and correspondence. | Destroy when 3 years old. |
| | c. Appeals Files | |
| | Memoranda, correspondence and other records relating to employee appeals of performance rating. | Destroy 3 years after final settlement of case. |
| 17. | <u>Conflict of Interest Case Files</u> | |
| | Statements of employment and financial interests and related records. | Destroy 3 years after separation of employee or 5 years after employee leaves the position for which the statement is required. |
| 18. | <u>Equal Employment Opportunity Records</u> | |
| | a. Official Discrimination Complaint Case Files. Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 5 CFR 713.222. | Destroy 4 years after resolution of case. |

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b. Copies of Complaint Case Files.

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

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.

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background papers and correspondence relating to contractor employment practices.

Destroy when 7 years old.

(2) EEO Compliance Reports.

Destroy when 3 years old.

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old.

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| | f. Employment Statistics Files | |
| | Employment statistics relating to race and sex. | Destroy when 5 years old. |
| | g. EEO General Files | |
| | General Correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports. | Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. |
| | h. EEO Affirmative Action Plans (AAP). | |
| | (1) Agency copy of consolidated AAP(s). | Destroy 5 years from date of plan. |
| | (2) Agency feeder plan to consolidated AAP(s). | Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. |
| 19. | <u>Personnel Counseling Records</u> | |
| | a. Counseling files. | |
| | Reports of interviews, analyses and related records | Destroy 3 years after termination of counseling. |

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b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating and directing an alcohol and drug abuse program.

Destroy when 3 years old.

20.

Standards of Conduct Files

Correspondence, memoranda and other records relating to code of ethics and standards of conduct.

Destroy when obsolete or superseded.

21.

Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups:

(1) Office negotiating agreement.

Destroy in CFA when superseded, obsolete, or no longer needed for reference.

(2) Other offices.

Destroy when superseded or obsolete.

b. Labor Arbitration General and Case Files.

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Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case.

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Training Records

a. Training Aids

(1) Manual, syllabuses, textbooks, and other training aids developed by the agency for NAF employees.

Destroy when obsolete or superseded.

(2) Training aids from other agencies or private institutions.

Destroy when obsolete or superseded.

b. General File of agency-sponsored training.

(1) 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.

(2) Background and workpapers.

Destroy when 3 years old.

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c. Employee training.

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 when superseded or obsolete, whichever is sooner.

d. 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.

23.

Grievance, Disciplinary and Adverse Action Files.

a. Grievance, Appeals Files

Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy 3 years after case is closed.

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b. Adverse Action Files (5 CFR 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; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

Destroy 4 years after case is closed.

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24.

Personal Injury Files

Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.

Destroy when 5 years old.

25.

Temporary Records Relating to Promotions.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING any records that duplicate information in the promotion plan, in the Official Personnel Folders, or in other personnel records.

Destroy 2 years after the personnel action or after the action has been audited, whichever is sooner.

[Amended job concurred in by E.E. Lowry, Jr., per
3/16/82 letter to NCD]