

## GENERAL RECORDS SCHEDULE 1

### Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to *The Guide to Personnel Recordkeeping*, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

1. Official Personnel Folders (OPFs).  
Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.
  - a. Transferred employees. **Rescinded per GRS Transmittal 28**
  - b. Separated employees. **Superseded by GRS 2.2, item 040 (DAA-GRS-2017-0007-0004)**

[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards. [See note after item 2b.]

Service Record Card (Standard Form (SF) 7 or equivalent).

- a. Cards for employees separated or transferred on or before December 31, 1947.  
**Rescinded per GRS Transmittal 28**
- b. Cards for employees separated or transferred on or after January 1, 1948.  
**Rescinded per GRS Transmittal 28**

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete.]

3. Personnel Correspondence Files.

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. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

- a. Accepted offers. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- b. Declined offers:
  - (1) When name is received from certificate of eligibles. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
  - (2) Temporary or excepted appointment. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
  - (3) All others. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**

5. Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**

6. Employee Record Cards. [See note after this item.]

Employee record cards used for informational purposes outside personnel offices (such as SF 7B). **Rescinded per GRS Transmittal 28**

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]

7. Position Classification Files.

- a. Position Classification Standards Files.
  - (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. **Rescinded per GRS Transmittal 28**
  - (2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM

approval or disapproval.

(a) Case file. **Superseded by GRS 2.1, item 010 (DAA-GRS-2014-0002-0001)**

(b) Review File. **Rescinded per GRS Transmittal 28**

b. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents. **Superseded by GRS 2.1, item 020 (DAA-GRS-2014-0002-0002)**

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports. **Rescinded per GRS Transmittal 28**

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations. **Rescinded per GRS Transmittal 28**

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate. **Superseded by GRS 2.1, item 030 (DAA-GRS-2014-0002-0004)**

(2) Certificates of classification issued by OPM. **Superseded by GRS 2.1, item 040 (DAA-GRS-2014-0002-0005)**

8. Interview Records.

Correspondence, reports, and other records relating to interviews with prospective employees. **Superseded by GRS 2.1, item 090 (DAA-GRS-2014-0002-0008)**

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**

10. Temporary Individual Employee Records.

a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records. **Superseded by GRS 2.2, item 041 (DAA-GRS-2017-0007-0005)**

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- b. Immigration and Naturalization Service Form I-9. **Superseded by GRS 2.2, item 060 (DAA-GRS-2017-0007-0007)**

11. Position Identification Strips.

Strips, such as the former SF 7D, containing summary data on each position occupied. **Rescinded per GRS Transmittal 28**

12. Employee Awards Files. [See note after item 12d.]

- a. General awards records, EXCLUDING those relating to department-level awards.
  - (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**
  - (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**
- b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**
- 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 OPF. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**
- d. Lists of or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations. **Superseded by GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)**

[NOTE: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program. **Rescinded per GRS Transmittal 28**

14. Notifications of Personnel Actions.

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Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

- a. Chronological file copies, including fact sheets, maintained in personnel offices. **Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)**
- b. All other copies maintained in personnel offices. **Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)**

15. RESERVED

16. Personnel Operations Statistical Reports.

Statistical reports in the operating personnel office and subordinate units relating to personnel. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**

17. Correspondence and Forms Files.

Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

- a. Correspondence and forms relating to pending personnel actions. **Superseded by GRS 2.2, item 050 (DAA-GRS-2017-0007-0006)**
- b. Retention registers and related records.
  - (1) Registers and related records used to effect reduction-in-force actions. **Superseded by GRS 2.5, item 011 (DAA-GRS-2014-0004-0002)**
  - (2) Registers from which no reduction-in-force actions have been taken and related records. **Superseded by GRS 2.5, item 010 (DAA-GRS-2014-0004-0001)**
- c. All other correspondence and forms. **Superseded by GRS 2.2, item 010 (DAA-GRS-2017-0007-0001)**

18. Supervisors' Personnel Files and Duplicate OPF Documentation.

- a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. **Superseded by GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)**
- b. Duplicate Documentation.

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Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule. **Superseded by GRS 2.2, item 080 (DAA-GRS-2017-0007-0012)**

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule. **Superseded by GRS 2.7, item 070 (DAA-GRS-2017-0010-0012)**

20. 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 report. **Superseded by GRS 2.7, item 010 (DAA-GRS-2017-0010-0001)**
- b. If information is not summarized. **Superseded by GRS 2.7, item 010 (DAA-GRS-2017-0010-0001)**

21. Employee Medical Folder (EMF). [See note after item 21c.]

- a. Long-term medical records as defined in 5 CFR Part 293, Subpart E.
  - (1) Transferred employees. **Rescinded per GRS Transmittal 29**
  - (2) Separated employees. **Superseded by GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)**
- b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM). **Superseded by GRS 2.7, item 061 (DAA-GRS-2017-0010-0010)**
- c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility. **Superseded by GRS 2.7, item 062 (DAA-GRS-2017-0010-0011)**

[NOTE: Electronic master files and databases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See note after this item.]

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. **Rescinded per GRS Transmittal 29**

[NOTE: Electronic master files and databases created to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be

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scheduled on an SF 115.]

23. Employee Performance File System Records. [See note after item 23b(4).]
- a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).
- (1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents. **Superseded by GRS 2.2, item 071 (DAA-GRS-2017-0007-0009)**
  - (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**
  - (3) Performance-related records pertaining to a former employee.
    - (a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**
    - (b) All other performance plans and ratings. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**
  - (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**
  - (5) Supporting documents. **Superseded by GRS 2.2, item 070 (DAA-GRS-2017-0007-0008)**
- b. SES appointees (as defined in 5 U.S.C. 3132a(2)).
- (1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. **Superseded by GRS 2.2, item 073 (DAA-GRS-2017-0007-0011)**
  - (2) Performance-related records pertaining to a former SES appointee.
    - (a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**
    - (b) All other performance ratings and plans. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**
  - (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214). **Superseded**

**by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**

- (4) Supporting documents. **Superseded by GRS 2.2, item 072 (DAA-GRS-2017-0007-0010)**

[**NOTE:** Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. Reasonable Accommodation Request Records

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

a. General Files

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures. **Superseded by GRS 2.3, item 020 (DAA-GRS-2015-0007-0004)**

b. Employee Case Files

Individual employee files that are created, received, and maintained by EEO reasonable



accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes. **Superseded by GRS 2.3, item 021 (DAA-GRS-2015-0007-0005)**

c. Supplemental Files

Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes. **Superseded by GRS 2.3, item 021 (DAA-GRS-2015-0007-0005)**

d. Tracking System

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance. **Superseded by GRS 2.3, item 020 (DAA-GRS-2015-0007-0004)**

25. Equal Employment Opportunity (EEO) Records.

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 Equal Employment Opportunity Commission, or by a U.S. Court. **Superseded by GRS 2.3, item 031 (DAA-GRS-2015-0007-0007) and GRS 2.3, item 032 (DAA-GRS-2015-0007-0008)**

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files. **Rescinded per GRS Transmittal 28**

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files. **Superseded by GRS 2.3, item 033 (DAA-GRS-2015-0007-0009)**

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- (2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases. **Superseded by GRS 2.3, item 033 (DAA-GRS-2015-0007-0009)**
- d. Compliance Records.
- (1) Compliance Review Files.
- Reviews, background documents, and correspondence relating to contractor employment practices. **Superseded by GRS 2.3, item 034 (DAA-GRS-2015-0007-0010)**
- (2) EEO Compliance Reports. **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**
- e. Employee Housing Requests.
- Forms requesting agency assistance in housing matters, such as rental or purchase. **Rescinded per GRS Transmittal 28**
- f. Employment Statistics Files. [See note after this item.]
- Employment statistics relating to race and sex. **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**
- [NOTE: Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]
- 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 later legislation, and agency EEO Committee meeting records, including minutes and reports. **Superseded by GRS 2.3, item 030 (DAA-GRS-2015-0007-0006)**
- h. EEO Affirmative Action Plans (AAP).
- (1) Agency copy of consolidated AAP(s). **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**
- (2) Agency feeder plan to consolidated AAP(s). **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**
- (3) Report of on-site reviews of Affirmative Action Programs. **Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**
- (4) Agency copy of annual report of Affirmative Action accomplishments.

**Superseded by GRS 2.3, item 035 (DAA-GRS-2015-0007-0011)**

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records. **Superseded by GRS 2.7, item 091 (DAA-GRS-2017-0010-0015)**

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program. **Superseded by GRS 2.7, item 080 (DAA-GRS-2017-0010-0013)**

27. Alternative Dispute Resolution (ADR) Files.

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

[**NOTE:** This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program. **Superseded by GRS 2.3, item 010 (DAA-GRS-2015-0007-0001)**

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence. **Superseded by GRS 2.3, item 011 (DAA-GRS-2015-0007-0002) and GRS 2.3, item 012 (DAA-GRS-2015-0007-0003)**

28. 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.

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- (1) Office negotiating agreement. **Superseded by GRS 2.3, item 050 (DAA-GRS-2015-0007-0014)**
    - (2) Other offices. **Superseded by GRS 2.3, item 051 (DAA-GRS-2015-0007-0015)**
  - b. Labor Arbitration General and Case Files.  
  
Correspondence, forms, and background papers relating to labor arbitration cases. **Superseded by GRS 2.3, item 052 (DAA-GRS-2015-0007-0016)**
29. Training Records.
- EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]
- a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.
    - (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**
    - (2) Background and working files. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001)**
  - b. 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. **Superseded by GRS 2.6, item 010 (DAA-GRS-2016-0014-0001) and GRS 2.6, item 030 (DAA-GRS-2016-0014-0003)**
- [NOTE: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]
30. Administrative Grievance, Disciplinary, and Adverse Action Files. [See note after item 30b.]
- a. Administrative Grievance Files (5 CFR 771).  
  
Records relating to grievances 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. **Superseded by GRS 2.3, item 060 (DAA-GRS-2015-0007-0017)**

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- b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF. **Superseded by GRS 2.3, item 061 (DAA-GRS-2015-0007-0018) and GRS 2.3, item 062 (DAA-GRS-2015-0007-0023)**

[NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. (N1-GRS-92-1 item 30 Note)]

31. Personnel 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 Employee Medical Folder and copies submitted to the Department of Labor. **Superseded by GRS 2.4, item 100 (DAA-GRS-2016-0015-0012)**

32. Merit Promotion Case Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001)**

33. Examining and Certification Records.

- a. Delegated agreements.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment. **Superseded by GRS 2.1, item 150 (DAA-GRS-2014-0002-0021)**

- b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**

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- c. Correspondence or notices received from eligibles indicating a change in name, address, or availability. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- d. Test material stock control.  
  
Stock control records of examination test material including running inventory of test material in stock. (N1-GRS-85-2 item 34b) **Rescinded per GRS Transmittal 28**
- e. Application Record Card (OPM Form 5000A, or equivalent). **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- f. Examination Announcement Case Documentation Files.  
  
Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs). **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent). **Rescinded per GRS Transmittal 28**
- i. Test Answer Sheets.  
  
Written test answer sheets for both eligibles and ineligibles. Filed by date of processing. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- j. Lost or Exposed Test Material Case Files.  
  
Records showing the circumstances of loss, nature of the recovery action, and corrective action required. **Superseded by GRS 2.1, item 070 (DAA-GRS-2014-0002-0012)**
- k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
- l. Eligible applications for positions filled from a register or inventory, including OF

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- 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.
- (1) On active register or inventory. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
- (2) On inactive register or inventory. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
- m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
- n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. **Superseded by GRS 2.1, item 060 (DAA-GRS-2014-0002-0011)**
- o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form. **Superseded by GRS 2.1, item 080 (DAA-GRS-2014-0002-0013)**
- p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**
- r. Interagency Placement Program (IPP) application and registration sheet. **Superseded by GRS 2.3, item 071 (DAA-GRS-2015-0007-0020)**
- s. DEP control cards, if maintained. **Superseded by GRS 2.3, item 070 (DAA-GRS-2015-0007-0019)**
- t. Reports of audits of delegated examining operations. **Superseded by GRS 2.1, item 160 (DAA-GRS-2014-0002-0022)**
34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. **Superseded by GRS 2.7, item 020 (DAA-GRS-2017-0010-0002)**

35. Denied Health Benefits Requests Under Spouse Equity. [See note after item 35b(2).] Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.
- a. Health benefits denied, not appealed. **Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**
  - b. Health benefits denied, appealed to OPM for reconsideration.
    - (1) Appeal successful - benefits granted. **Rescinded per GRS Transmittal 28**
    - (2) Appeal unsuccessful - benefits denied. **Superseded by GRS 2.4, item 111 (DAA-GRS-2016-0015-0014)**

[NOTE: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. **Superseded by GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)**
- b. Employee acknowledgment of notice forms.



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Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. **Superseded by GRS 2.7, item 110 (DAA-GRS-2017-0010-0017)**

c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules. **Superseded by GRS 2.7, item 100 (DAA-GRS-2017-0010-0016)**

d. Records relating to the collection and handling of specimens.

(1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected. **Superseded by GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)**

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. **Superseded by GRS 2.7, item 120 (DAA-GRS-2017-0010-0018)**

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

(a) Employees. (N1-GRS-98-1 item 36e2a) **Superseded by GRS 2.7, item 130 (DAA-GRS-2017-0010-0019)**

(b) Applicants not accepted for employment. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001) and GRS 2.1, item 051 (DAA-GRS-2017-0011-0002)**

(2) Negative results. **Superseded by GRS 2.1, item 050 (DAA-GRS-2017-0011-0001), GRS 2.1, item 051 (DAA-GRS-2017-0011-0002), and GRS 2.7, item 131 (DAA-GRS-2017-0010-0020)**

**[NOTES:** (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related

litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)]

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. **Superseded by GRS 2.4, item 071 (DAA-GRS-2016-0015-0009)**

38. Wage Survey Files.

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). **Superseded by GRS 2.4, item 080 (DAA-GRS-2016-0015-0010)**

39. Retirement Assistance Files.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. **Superseded by GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)**

40. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2. **Superseded by GRS 2.1, item 110 (DAA-GRS-2014-0002-0018)**

41. Pay Comparability Records.

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances. **Superseded by GRS 2.4, item 090 (DAA-GRS-2016-0015-0011)**

42. Alternate Worksite Records.

- a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act. **Superseded by GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**

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December 2017

General Records Schedules

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- b. Unapproved requests. **Superseded by GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**
  
- c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program. **Superseded by GRS 2.3, item 080 (DAA-GRS-2015-0007-0021) and GRS 2.3, item 081 (DAA-GRS-2015-0007-0022)**

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