

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <i>NC1-AFU-81-48</i>	
DATE RECEIVED <i>May 12, 1981</i>	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<i>6-2-82</i> Date	<i>[Signature]</i> Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)

Department of the Air Force

2. MAJOR SUBDIVISION

Directorate of Administration HQ USAF

3. MINOR SUBDIVISION

Information Management and Resources Division

4. NAME OF PERSON WITH WHOM TO CONFER

Mrs. Grace T. Rowe

5. TEL EXT

694-3527

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 9 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 1 MAY 1981	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Herbert G. Geiger</i>	E. TITLE HERBERT G. GEIGER, Chief Information Mgt and Resource Div
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1	<p>POLICY, GENERAL AUTHORITY, and GENERAL MANAGEMENT) (Table 40-1) (Applicable Air Force-wide)</p> <p>The purpose of this submission is to have rules in the revised table 40-1 appraised. This revision is necessary because of the extensive changes in the civil service system over the years including implementation of the Civil Service Reform Acts. Rule 1 is being ^{was} appraised as archival under MARS job number, NC1-AFU-80-8, SF115, 20 Dec 79. A note is added to rule 1 to clarify that those documents which become background information to a publication are managed by table 5-1.</p> <p>There is no change in rules 3 through 8 except minor editorial changes. However, we need to get rules 3 and 5 appraised for permanent retention.</p> <p>These files become the basis for personnel and wage administration which support the legal and administrative validity of Air Force personnel and pay actions. These files are retained at Central Civilian Personnel Offices (CCPO) until inactivation, then are transferred to the gaining command to close out civilian personnel</p> <p><i>[Amended by R. Waite per G. Rowe, 3/1/82]</i></p>	NC1-AFU-77-66	22 items

115-107
[No mass data change sheet required. Copies of job sent to NN M + NNB by BAW, 6/7/82]
Closed Out: 6-8-82: K.T.D.

Request for Records Disposition Authority - Continuation

JOB NO

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>records. The files are held for 1 year after actions are completed and retired as permanent. These files are needed for future reference to substantiate personnel actions. They have historical significance since they provide developments, trends, in personnel and pay programs needed for analysis purpose. The annual accumulation is small. There is 1 cubic foot of files at WNRC for table 40-1, rule 3 and 21 cubic feet of 40-1, rule 5. The files are maintained by subjects. They can be transferred to National Archives twenty years after retirement to the WNRC. The general restriction for security classified, Freedom of Information and Privacy Acts, as appropriate, apply.</p> <p>Rules 9-12 have been deleted. These are now included in the computerized Personnel Data System-Civilian (PDS-C) as described in table, 40-9.</p> <p>Rule 13 disposition is ^{not a substantive} a deviation from GRS1, item 14a. We have found that we need to keep the files for 2 years after close of the month in which notification was dated. Rule 14 columns A and B have been reworded to include direct and non-direct hire for non-US citizens. Column D was changed because we need to satisfy specific requirements in administering non-US citizens in the host country. Various countries have certain regulations that we must adhere to when employing their citizens. Rule 15 was included in rule 14, except that portion pertaining to the Federal Republic of Germany, which is now included in rule 16. Column D in rule 16 is changed from 1 to 3 years after separation of employee. We have found that due to intermittent employment of the same persons, we need to retain their records for at least 3 years. Rule 17 is deleted since those records are now included in the PDS-C computer system (table 40-9). Rule 20 column B is changed to reflect proper nomenclature for the documents covered in this rule. Rule 21 column C is changed to show that this rule applies to any office maintaining a file of official personnel publications. Rule 24 and 25 are added to cover evaluation and inspection records. Dispositions are a deviation to GRS1, item 7c (1)(b). We have an administrative requirement to hold the evaluations made by HQ USAF until after two consecutive reports have been filed. The evaluations/inspections prepared and kept by subordinate elements are required for administrative reference for one year after the next inspection or for three years, whichever is sooner. Rule</p> <p>[Amended by R. Wire per G. Rowe, 2/10/82]</p>		<p>except for those covered by Rule 16 (see amendment).</p>

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>26 adds the Civilian Personnel Status and Improvement Plan reports. CRS1, item 3a applies.</p> <p>Reference rule 27. Recommend that the end-of-month (EOM) personnel strength accounting for the fiscal year be maintained as a permanent record. These reports give statistics of the Air Force civilian personnel strength on an annual basis. The cumulative reports are significant since they would historically track the strength of the Air Force activities and/or give the strength for a specific period of time. The volume on hand is unknown. The annual accumulation is small. None have been forwarded to the Federal records centers. They are filed chronologically. The general restrictions on security classified, Freedom of Information and Privacy Acts apply. They may be offered to National Archives 20 years after retirement to WPA in 10-year blocks when the most recent records in the block are 20 years old. Rule 28 covers extracts from the personnel strength accounting system and corollary documentation used by the major commands, separate operating agencies and direct reporting units. They need to retain until obsolete, superseded, or no longer needed for administrative reference. They are used for trend analysis and to answer queries.</p> <p style="font-size: 1.2em; margin-top: 20px;">[Amended by R. Wire per G. Rowe, 3/1/82]</p>		

40. Civilian Personnel. These tables cover documentation pertaining to administration of the civilian personnel program, including recruitment, placement, position classification, career development, employee-management relations, labor relations, disciplinary actions, grievances, leave, performance evaluation, equal employment opportunity, and incentive awards. Tables 40-1 through 40-7 cover records created by elements of the Office of the Director, Civilian Personnel, HQ USAF, major commands, and the Central Civilian Personnel Offices. Those accumulated by operating officials are covered in Table 40-8. Payroll records, including time and attendance reporting, are in the 177 tables. Nonappropriated fund employee personnel records are covered in Table 176-2.

Special Note: All references throughout the tables pertaining to HQ USAF include the Office of Civilian Personnel Operations (OCPO).

TABLE 40-1

POLICY, GENERAL AUTHORITY, AND GENERAL MANAGEMENT

R U L E	A	B	C	D
	If documents are or pertain to	consisting of	which are	then
1	basic program documentation	*HQ USAF and MAJCOM documents reflecting basic delegations of authority (comments and coordination), and development of policies, procedures, and methods for conducting all phases of the AF civilian personnel administration program	*wage schedules, resolution of field-referred matters, studies, reports, and other documents forming the basis for development, management, and continued improvement of the program	*they are permanent, and are retained at accumulating office during its existence. (Notes 1 and 2) [Amended by R. Wire per G. Rowe, 2/10/82]
2	(RESERVED)			
3		documents which provide the basis for personnel program administration authority and which support the legal and administrative validity of personnel and pay actions	authorities to administer US citizen and/or non-US citizen employees, such as, but not limited to, base commander's written designations of civilian personnel officer (CPO) and incumbents of other positions to sign personnel action documents; Office of Personnel Management (OPM), HQ USAF, or major command (MAJCOM) exceptions or authorities which provide basis for specific actions or operations but which are not appropriate	they are permanent and are retained at the CCPO during its existence; on inactivation transfer the file to gaining organization or activity assigned responsibility for closing out civilian personnel records, retain for 1 year after actions are completed, then retire. Disposition Not Approved.

TABLE 40-1 (Continued)

R U L E	A If documents are or pertain to	B consisting of	C which are	D then
3	(continued)		for inclusion in a case file; records or other actions or decisions which are precedent-setting for future operations	
4		individually approved position classification guides and advisory allocations used as precedents for General Schedule and Wage Schedule positions	field-originated advisory allocations; tentative drafts of classification, qualification, or occupational standards furnished by OPM for comment or information before publication and related correspondence not maintained with publication to which it pertains	destroy when superseded by published standards or other precedent decisions; or when obsolete, no longer needed for reference, or on inactivation.
5	wage administration	*wage schedules, oversea differential rate approvals, and other pay adjustment authorization resulting from legislation or other across-the-board administrative action	*documents which constitute the basis for personnel actions which may require reconstruction at a later date	*they are permanent and are retained at the CCPO during its existence; on inactivation transfer the file to gaining organization or activity assigned responsibility for closing out civilian personnel records, retain for 1 year after actions are completed, then retire. <i>Disposition Not Approved</i>
6			all documents not covered in rule 5	destroy after 2 years.
7	CCPO manpower management reports	reports and corollary records	periodic staffing analyses, special analyses for HQ USAF and MAJCOM surveys, and for special projects	destroy 2 years after effective date of report.

TABLE 40-1 (Continued)

R U L E	A If documents are or pertain to	B consisting of	C which are	D then
8	Official Personnel Folder (OPF)	an OPF for each civilian employee, documenting employee's Federal work history and civil service status	retained at the Central Civilian Personnel Office	manage in accordance with the FPM.
* 9	(RESERVED)			
* 10	(RESERVED)			
* 11	(RESERVED)			
* 12	(RESERVED)			
13	chronological journal file	notifications of personnel actions for all actions that OPM requires to be recorded on SF 50		destroy 2 years after close of month in which notification was dated.
14	*non-US citizens in foreign areas <i>[Amended by R. Wire per G. Rowe, 2/10/82]</i>	*records maintained to the extent that they apply to non-US citizens on all direct-hire non-U.S. citizens in foreign areas and all such indirect hires excluding those covered by Rule 16	basically the same as those maintained for other employees, adapted to meet local needs	*dispose of as specified for records of other employees (or in a manner that will satisfy peculiar requirements in administering Non-US citizens in the host country).
15	(RESERVED)			
16	*Indirect Hire Non-US Citizens in Federal Republic of Germany	records of non-US citizens in the Federal Republic of Germany	OPFs administered by the CCPO in the Federal Republic of Germany	*destroy 3 years after separation of employee.

TABLE 40-1 (Continued)

R U L E	A If documents are or pertain to	B consisting of	C which are	D then
* 17	(RESERVED)			
18	employee reconsideration files	negative determinations of acceptable level of competence for within-grade increases, and basis thereof; employees written request for reconsideration; reports of investigation, written summaries, or transcripts of any personal presentations made; final decision on requests for reconsideration		destroy 1 year after date of final decision.
19	(RESERVED)			
20	manning authorizations	*unit manning documents, manpower authorization listings/vouchers, or letters	allocations of manpower spaces issued by the manpower office per AFM 26-3	destroy 6 months after supersession.
21	file of official publications	superseded copies of Federal Personnel Manual and Air Force regulatory material	*	see table 11-1, rule 14, and AFR 40-171.
22	Federal Employees' Compensation Act log	weekly listing of injuries used as a check file for all cases sent to Office of Workers' Compensation Programs	maintained by CCPO	destroy after 5 years.

TABLE 40-1 (Continued)

R U L E	A If documents are or pertain to	B consisting of	C which are	D then
23	Federal Employees' Compensation Act case files	letters and copies of forms and statements for each case used as a check file for all cases sent to the Office of Workers' Compensation Programs		destroy after 5 years.
*24	Evaluation/Inspection	evaluation of Civilian Personnel Management and Administration Reports and significant related documents	evaluations conducted by HQ USAF	destroy after two consecutive reports have been filed.
*25			prepared and maintained at major subordinate commands	destroy 1 year after next like inspection or after 3 years, whichever is sooner.
*26	Personnel Management and Administration	Civilian Personnel Status and Improvement Plan Reports	monitored by the CCPO	destroy after 3 years.

[Amended by R. Wire per G. Rowe, 3/1/82, to correct inadvertent omission of disposition for Rule 23.]

(Cont. on next page)

TABLE 40-1 (Continued)

R U L E	A If documents are or pertain to	B consisting of	C which are	D then
*27	personnel strength accounting	End-of-month (EOM) fiscal year report of Federal Civilian Employment and corollary records	used to derive the civilian strength and full-time equivalents of the Air Force	retire as permanent (Note 3).
*27.1		End-of-month fiscal quarter report of Federal Civilian Employment and corollary records.		destroy after 5 years unless rule for fiscal year applies.
*27.2		End-of-month monthly report of Federal Civilian Employ- ment and corollary records		destroy after 2 years unless rule for fiscal year or fiscal quarter applies.
*28		extracts of Monthly Report of Federal Civilian Employ- ment forms, computer documents, and corollary records	used by MAJCOMs, Separate Operating Agencies (SOAs), Direct Reporting Units (DRUs) and/or CCPOs to derive civil- ian personnel strength sta- tistics for commanders and key management officials	destroy when obsolete, superseded, or no longer needed for administrativ reference.

Note 1: When documents become background material to a publication, they are handled according to table 5-1.

Note 2: Offer to the National Archives in 5-year blocks when the most recent records in the block are 25 years old.

Note 3: Offer to the National Archives in 10-year blocks when the most recent records in the block are 20 years old.

[Amended by R. Wire per G. Rowe, 2/10 & 3/1/82]