

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>71-560-03-8</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10.	
2. MAJOR SUBDIVISION Transportation Security Administration			
3. MINOR SUBDIVISION Office of Human Resources			
4. NAME OF PERSON WITH WHOM TO CONFER Arthur McCune, Jr.	5. TELEPHONE 571/227-2076	DATE <i>8/31/2004</i>	ARCHIVIST OF THE UNITED STATES <i>Lein Bellard</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>6</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.			
DATE 05/7/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur L. McCune Jr.</i>		TITLE Records Management Officer
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		

cc Agency NR NAWM

HRM 1100—HUMAN RESOURCES MANAGEMENT

<p>This category is for general correspondence and related papers pertaining to Human Resources Management.</p>

Title	Description of Records	Disposition	Authority
HRM—1100 HUMAN RESOURCES MANAGEMENT	Correspondence reports and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this category and records maintained at Agency staff planning levels.	Cut off at end of fiscal year. Destroy 3 years after cut off.	GRS-1/3
HRM—1100.1 CHRONOLOGICAL/ READING FILES	Extra copies of outgoing material arranged and maintained for informational purposes.	Cut off at end of calendar year, hold two additional years, and then destroy .	GRS-23/1
HRM—1100.2 OFFICIAL PERSONNEL FOLDER (OPF)	a. Right side of folder. Official personnel files maintained by the Office of Human Resources in accordance with the Federal Personnel Manual. Includes SF 2809, SF 2810 and 2817, SF 50, SF 144, SF 61, DD 214, and résumés for folders covering employment terminated after December 31, 1920.		
	1. Transferred employees.	See Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions relating to folders of employees transferred to another agency.	GRS-1/1a
	2. Separated employees	Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC	GRS-1/1b

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Title	Description of Records	Disposition	Authority
		will destroy 65 years after separation from Federal service.	
	b. Left side of folder. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of <i>The Guide to Personnel Recordkeeping</i>; EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.	Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item HRM 1100.3 for disposition of I-9 Forms.	GRS-1/10a
HRM—1100.3 IMMIGRATION AND NATURALIZATION SERVICE FORM I-9	These are the Immigration and Naturalization Service Forms I-9. New employees' forms will not be placed in the OPF.	Destroy 3 years after employee separates from service or transfers to another agency.	GRS-1/10b
1) HRM 1100.4 PERSONNEL OPERATIONS STATISTICAL REPORTS	a. Statistical reports in the operating personnel office and subordinate units relating to personnel. b. Substantive reports, studies, progress reports, and reports of significant accomplishments. Case file special or one-time reports as needed.	Destroy when 2 years old. Cut off at end of fiscal year. Transfer to FRC 10 years after cut off. Destroy 15 years after cut off.	GRS-1/16
2) HRM 1100.5 POLICY	Signed policies and working files which include correspondence, drafts, charts, brochures, articles, news releases, statistical data, notes, reports, regulations, and other related documents pertaining to Human Resources policies. This applies to records on all media, including paper and electronic.	Destroy when 5 years old or when superseded on obsolete, whichever is later.	

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Title	Description of Records	Disposition	Authority
3) HRM 1100.6 PLANNING	General correspondence drafts, background material, annual work plans, budget estimates, and documents relating to program planning.	Cut off at end of fiscal year. Destroy when 3 years old.	
HRM—1100.7 COMMITTEES, MEETINGS, AND CONFERENCES	a. Records of committees, meetings, and conferences relating to establishment, organization, membership, and policy of internal committees. Subdivide committees and conferences, if necessary, and show name and date span on folder.	Destroy 2 years after termination of committee.	GRS 16/8a
	b. Agenda, minutes, and final reports and related materials documenting the accomplishments of official boards and committees. EXCLUDING those maintained by the sponsor or Secretariat.	Destroy when 3 years old.	GRS 16/8b(1)
	[NOTE: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.]		
HRM—1100.7.1 Arrangements	All other committee records including meeting arrangements, invitations, extra copies of agendas, accommodations, authority to attend, workpapers, acceptances, and regrets.	Destroy when 3 years old.	GRS 16/8b(2)
HRM—1100.8 UNASSIGNED			
HRM—1100.9 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.	Destroy when superseded or obsolete.	GRS 1/7a(1)

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Title	Description of Records	Disposition	Authority
	2. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.		
	1. Case file.	Destroy 5 years after position is abolished or description is superseded.	GRS 1/7a (2)(a)
	2. Review File.	Destroy when 2 years old.	GRS 1/7a (2)(b)
	b. Position Descriptions. Record copy of position descriptions, which include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description is superseded.	GRS 1/7b
	c. Survey Files		
	1. Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.	GRS 1/7c(1)
	2. Inspection, audit, and classification survey files on various positions, including correspondence, reports, and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when superseded or obsolete	GRS 1/7c(2)

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Title	Description of Records	Disposition	Authority
	d. Appeals		
	1. Case files relating to classification appeals, excluding OPM classification certificates.	Destroy 3 years after case is closed.	GRS 1/7d(1)
	2. Certificates of classification issued by OPM.	Destroy after affected position is abolished or superseded.	GRS 1/7d(2)
4) HRM 1100.10 EMPLOYMENT	a. Contains copies of letters inquiring about employment, requesting literature of special interest on career opportunities in TSA.	Cut off at end of fiscal year. Destroy 3 months after cutoff.	
	b. Annuity Offset Waiver Forms, Requests for dual compensation for employees who are retired from other agencies and subsequently work for TSA.	Cut off at end of fiscal year. Destroy when 5 years old.	
HRM—1100.10.1 Employment Applications	a. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.		
	1. On active register or inventory.	Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).	GRS 1/33L(1)
	2. On inactive register or inventory.	Cut off annually. Destroy 1 year after cut off.	GRS 1/33L(2)
	3. Résumés	Place on the right side of the OPE upon receipt.	

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Title	Description of Records	Disposition	Authority
	<p>b. 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.</p>	<p>Cutoff annually. Destroy 2 years after cutoff.</p>	GRS 1/33m
	<p>e. 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.</p>	<p>Cut off annually. Destroy 2 years after cutoff.</p>	GRS 1/33n
<p>HRM 1100.11 FEDERAL WORKPLACE DRUG TESTING PROGRAM FILES</p>	<p>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).</p>	<p>Destroy when 3 years old or when superseded or obsolete. [See note (2) after item HRM 1100.11e(2).]</p>	GRS 1/36a
	<p>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.</p>		

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Title	Description of Records	Disposition	Authority
	<p>b. Employee acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.</p>	<p>Destroy when employee separates from testing-designated position. [See note (2) after item HRM 1100.11e(2).]</p>	GRS 1/36b
	<p>e. 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.</p>	<p>Destroy when 3 years old. [See note (2) after item HRM 1100.11e(2).]</p>	GRS 1/36c
	<p>d. Records relating to the collection and handling of specimens.</p>		
	<p>1. "Permanent" Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.</p>	<p>Destroy 3 years after date of last entry. [See note (2) after item HRM 1100.11e(2).]</p>	GRS 1/36d(1)
	<p>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.</p>	<p>Destroy when 3 years old. [See note (2) after item HRM 1100.11e(2).]</p>	GRS 1/36d(2)
	<p>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. Includes original Medical Review Officers files regarding contacts and attempted contacts with test subjects.</p>		

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Title	Description of Records	Disposition	Authority
	1. Positive results.		
	a. Employees.	Destroy when employee leaves the agency or when 3 years old, whichever is later.	GRS 1/36e(1)(a)
	b. Applicants not accepted for employment.	Destroy when 3 years old. [See note (2) after item HRM 1100.11f]	GRS 1/36e(1)(b)
	2. Negative results.	Destroy when 3 years old.	GRS 1/36e(2)

[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 HRM 1100.15, which authorizes destruction of records 5 years after the case is closed. (2) Any records covered by HRM 1100.11 items 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).]

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Title	Description of Records	Disposition	Authority
HRM—1100.12 UNASSIGNED			
HRM—1100.13 MERIT PROMOTIONS	Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures and evaluation of candidates. This subject matter also includes Senior Executive Service (SES).	Cut off at end of fiscal year. Destroy after OPM audit or 2 years after the personnel actions is completed whichever is sooner.	GRS-1/32
HRM—1100.14 GRIEVANCES AND APPEALS	Records originating in the review of grievances and appeals raised by TSA employees, and the Disciplinary Review Board (DRB), 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 reconsideration.	Destroy no sooner than 4 years but no later than 7 years after case is closed.	GRS-1/30a
HRM—1100.15 ADVERSE ACTIONS	Case files and records related to adverse action 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; statement of witnesses; employee's reply; hearing notices, reports, and decision; reversals of action and appeal records. EXCLUDING letters of reprimand, which are filed in the OPF.	Destroy 5 years after case is closed.	GRS-1/30b
HRM—1100.16 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	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.	GRS-1/31

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Title	Description of Records	Disposition	Authority
HRM—1100.17 HEALTH INSURANCE	Employee Medical Folder and copies submitted to the Department of Labor.	SF 2809 and 2810 are filed in the Official Personnel Folders (OPF). See HRM 1100.2 for disposition.	
HRM—1100.18 LIFE INSURANCE	File includes SF 2817, Life Insurance Election Program, used by each employee to enroll or waive life insurance and beneficiary designation.	SF 2817 is filed in the Official Personnel Folders (OPF). See HRM 1100.2 for disposition.	
HRM—1100.19 EMPLOYEE ASSISTANT PROGRAM (EAP)	Files include information on preventive services such as employee education, management consultation, assistance with change management and crisis management, and emotional first aid in crisis situations.	Retain pending appraisal.	
✓ 5) HRM 1100.20 RETIREMENT	Includes reports, registers or other control documents, applications, and error corrections relating to retirement and maintained as back-up copies of records sent to OPM and/or filed in employee's OPF.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff. Cutoff at the end of the fiscal year. Destroy 2 years from date when forms are sent to OPM.	

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Title	Description of Records	Disposition	Authority
	<p>c. Retirement Estimates files contain calculation of annuity estimates for retirees. Files are not transferred to the OPF. Files include SF 2801-1, SF 3108-1, Certified Summaries, SF 3100, and SF 2806, which are individual records.</p>	<p>Cutoff at the end of the fiscal year. Destroy 5 after cutoff.</p>	
	<p>d. Retirement Case Files contain applications for immediate retirement under the Civil Service Retirement System and the Federal Employees Retirement System. Includes copies of SF 2801 and SF 3701; filed by employee name.</p>	<p>Destroy when 2 years old or after receipt of OPM report, whichever is sooner.</p>	
	<p>e. Retirement Error Corrections files regarding errors in retirement estimates and calculations and employees who were placed in the wrong retirement system (CRCS and FERS).</p>		
	<p>1. Errors, which lasted less than 3 years—TSA corrects.</p>	<p>Destroy 5 years after corrections.</p>	
	<p>2. Errors, which lasted more than 3 years—OPM corrects.</p>	<p>Destroy 5 years after corrections.</p>	
	<p>Note: Once the errors are corrected the case is filed in the OPF.</p>		
<p>HRM—1100.21 AWARDS AND COMMENDATIONS</p>	<p>Employee Awards File: General awards records, EXCLUDING those relating to departmental level awards.</p>		

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Title	Description of Records	Disposition	Authority
	a. Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, with in-grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval.	GRS-1/12a(1)
	b. Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.	Destroy when 2 years old.	GRS-1/12a(2)
HRM—1100.22 INCENTIVE AWARDS	Correspondence and related materials on Secretary's and Administrator's Special Honor Award Quality Success Increases, and Special Achievement Cash Awards for entire Agency.	Cut off at end of fiscal year. Destroy 3 years after cut off.	GRS-1/13
HRM—1100.23 THRIFT SAVINGS PLAN (TSP) ELECTION FORM	Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.	Destroy when superseded or after separation of employee.	GRS-2/16
HRM—1100.24 DONATED LEAVE PROGRAM	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. Also known as "leave bank" records.	Destroy 1 year after the end of the year in which the file is closed.	GRS-1/37
HRM—1100.25 EMPLOYEE MEDICAL FOLDER (EMF)	a. Long-term medical records as defined in 5 CFR Part 293, Subpart E, includes all employee occupational medical records (which excludes employee assistance/counseling, patient, non-		

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	<p>personal, and epidemiological records) whether they are maintained in an automated, microform, or paper mode, and wherever located in the agency, are part of the EMF.</p> <p>Note: Occupational Medical Records considered to be long term records must be maintained for the duration of employment, plus 30 years or for as long as the OPF is maintained, whichever is longer</p>		
	<p>1. Transfer employees</p>	<p>See 5 CFR Part 293, Subpart E for instructions. In 2004 it states that when an employee transfers to another Federal agency, the EMF must be transferred to the gaining agency at the same time as the employee's OPF. The EMF is to be addressed only to the gaining agency's designated manager (medical, health, safety, or personnel officer, or other designee) of the EMF.</p>	<p>GRS 1/21a(1)</p>
	<p>2. Separated employees.</p>	<p>Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained;</p>	<p>GRS 1/21a(2)</p>

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Title	Description of Records	Disposition	Authority
		or 30 years after latest separation, whichever is later	
	b. Temporary or short term records as defined in the Federal Personnel Manual (FPM).	Destroy 1 year after separation or transfer of employee.	GRS 1/21b
	[NOTE: Electronic master files and data bases created to supplement or replace the records covered by GRS 1/21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]		
HRM 1100.26 PAYROLL	1. Individual Employee Pay Records.		
	-a. Pay record for each employee as maintained in an electronic database. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.	Update elements and/or entire record as required.	GRS 2/1a
	-b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.	Transfer to National Personnel Records Center. Destroy when 56 years old.	GRS 2/1b
	2. Noncurrent Payroll Files. Copy of noncurrent payroll data as maintained by payroll service bureaus in either microform or machine readable form.	Destroy 15 years after close of pay year in which generated.	GRS 2/2
HRM 1100.27 TIME AND ATTENDANCE	1. Leave Application Files. SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.		
	a. If employee initials time card or equivalent.	Destroy at end of following pay period	GRS 2/6a

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Title	Description of Records	Disposition	Authority
	b. If employee has not initialed time card or equivalent.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2/6b
	2. Time and Attendance Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2/7
	3. Time and Attendance Input Records in either paper or machine-readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2/8
	4. Leave Records:		
	a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.	File on right side of the OPF. See HRM 1100.2.	GRS 2/9(a)
	b. Creating agency copy, when maintained.	Destroy when 3 years old.	GRS 2/9(b)
6) HRM 1100.28 E-MAIL AND WORD PROCESSING DOCUMENTS	a. Copies of records described in this schedule that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies	Delete/destroy within 180 days after the recordkeeping copy has been produced.	

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Title	Description of Records	Disposition	Authority
	on shared network drives that are used only to produce the recordkeeping copy.		
	b. Copies of records described in this schedule used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Delete when dissemination, revision, or updating is complete.	

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NA-560-03-8</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10.	
2. MAJOR SUBDIVISION Transportation Security Administration			
3. MINOR SUBDIVISION Office of Human Resources			
4. NAME OF PERSON WITH WHOM TO CONFER Arthur McCune, Jr.	5. TELEPHONE 571/227-2076	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>6</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.			
DATE 05/7/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur McCune Jr.</i>		TITLE Records Management Officer
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		

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This category is for general correspondence and related papers pertaining to Human Resources Management.

Title	Description of Records	Disposition	Authority
HRM 1100 HUMAN RESOURCES MANAGEMENT	Correspondence reports and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this category and records maintained at Agency staff planning levels.	Cut off at end of fiscal year. Destroy 3 years after cut off	GRS 1/3
HRM 1100.1 CHRONOLOGICAL/ READING FILES	Extra copies of outgoing material arranged and maintained for informational purposes.	Cut off at end of calendar year, hold two additional years, then destroy .	GSR 23/1
HRM 1100.2 OFFICIAL PERSONNEL FOLDER	Official personnel files maintained by the Office of Human Resources in accordance with the Federal Personnel Manual.	See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.	GRS 1/1(a)
	a. Transferred employees.	Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 65 years after separation from Federal service.	GRS 1/1(b)
	b. Separated employees		

HRM 1100—HUMAN RESOURCES MANAGEMENT

Title	Description of Records	Disposition	Authority
HRM 1100.3 TEMPORARY INDIVIDUAL EMPLOYEE RECORDS	All copies of correspondence and forms maintained on the left side of the OPF in accordance with Chapter 3 of the Guide to Personnel Bookkeeping.	Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF.	GRS 10a
HRM 1100.4 PERSONNEL OPERATIONS STATISTICAL REPORTS	Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 year old.	GRS 1/16
	Substantive reports, studies, progress reports, and reports of significant accomplishments. Case file special or one-time reports as needed.	Cut off at end of fiscal year. Transfer to FRC 10 years after cut off. Destroy 15 years after cut off.	
HRM 1100.5 PLANNING	General correspondence drafts, background material, annual work plans, budget estimates, and documents relating to program planning.	Destroy 3 years old.	
HRM 1100.6 COMMITTEES, MEETINGS, AND CONFERENCES	Committees, meetings, and conferences relating to establishment, organization, membership, and policy of internal committees.	Destroy 2 years after termination of committee.	GRS 16/8a
	Subdivide committees and conferences, if necessary, and show name and date span on folder.		
	Agenda, minutes, and final reports and related materials documenting the accomplishments of official boards and committees. EXCLUDING those maintained by the sponsor or Secretariat.	Destroy when 3 years old.	GRS 16/8b(1)
HRM 1100.6.1 Arrangements	All other committee records to include such materials as meeting	Destroy when 3 years old.	

HRM 1100—HUMAN RESOURCES MANAGEMENT

Title	Description of Records	Disposition	Authority
<p>HRM 1100.7 PERSONNEL MANAGEMENT</p>	<p>arrangements, invitations, extra copies of agendas, accommodations, authority to attend, workpapers, acceptances, and regrets.</p>	<p>Cut off at end of fiscal year. Destroy in agency when 5 years old.</p>	
	<p>General correspondence, background material, classification actions, external Agency evaluation reports, and internal evaluation studies of management programs.</p>		
	<p>Files may include questionnaires that have been sent to TSA employees on their working conditions in the office, desk audits, and position description reviews for Washington Headquarters and Regional Offices.</p>		
<p>HRM 1100.8 POSITION CLASSIFICATION FILES</p>	<p>Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions with TSA.</p>	<p>Destroy when superseded or obsolete.</p>	<p>GRS 1/7a(1)</p>
	<p>Correspondence and other records relating to the development of standards for classification of positions peculiar to TSA, and OPM approval or disapproval.</p>		
	<p>(a) Case File.</p>	<p>Destroy 5 years after position is abolished or description is superseded.</p>	<p>GRS 1/7a(2) (a)</p>
	<p>(b) Review File.</p>	<p>Destroy when 2 years old.</p>	<p>GRS 1/7a(2) (b)</p>

HRM 1100—HUMAN RESOURCES MANAGEMENT

Title	Description of Records	Disposition	Authority
HRM 1100.8.1 Appeals	Case files relating to classification appeals and containing correspondence, backup material, approvals, and appeals of employees.	Destroy 3 years after case is closed.	GRS 1/7d
HRM 1100.8.2 Position Descriptions	a. Position Classification Standards Files.	Destroy when superseded or obsolete.	GRS 1/7a (1)
	1. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.		
	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.	Destroy 5 years after position is abolished or description is superseded.	GRS 1/7a (2)(a)
	b. Review File.	Destroy when 2 years old.	GRS 1/7a (2) (b)
	b. Position Descriptions. Record copy of position descriptions, which include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description is superseded.	GRS 1/7b
HRM 1100.8.3 Surveys and Evaluations	Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.	GRS 1/7c(1)
	Inspection, audit, and classification survey files on various positions, including correspondence, reports,	Destroy when superseded or obsolete	GRS 1/7c(2)

HRM 1100—HUMAN RESOURCES MANAGEMENT

Title	Description of Records	Disposition	Authority
HRM 1100.9 STAFFING	and other records relating to inspections, surveys, desk audits and evaluations. Records on staffing requirements based on authorized ceilings. Includes personnel ceilings and staffing patterns.	Cut off at end of fiscal year. Destroy 3 years after cutoff.	
HRM 1100.10 EMPLOYMENT	Contains copies of letters inquiring about employment, requesting literature of special interest on training and career opportunities in TSA, and other information pertaining to TSA personnel training and employee development.	Cut off at end of fiscal year. Destroy 2 years after cutoff.	
	Monthly Report of Federal civilian employment files which consists of SF-113A's, Monthly Report of Federal Civilian Employment. These forms are used to submit the report related to employment at the end of each month to the Office of Personnel Management.	Cut off at end of fiscal year. Destroy in agency 2 years after cutoff.	
HRM 1100.10.1 Employment Applications	Applications, including Optional Form 612, resumes, pre-employment drug testing records and any other application that TSA may develop for unique jobs with specialized requirements, and related records.	Destroy when 2 years old or upon an Office of Personnel Management evaluation of the records, whichever is first.	GRS 1/15
HRM 1100.10.2 Personnel Actions	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.	Destroy when 2 years old.	GRS 1/14a

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Title	Description of Records	Disposition	Authority
HRM 1100.11 PROMOTION AND INTERNAL PLACEMENT	<p>b. All other copies maintained in personnel offices.</p> <p>Consists of Availability Statement; Personal History Statement, and background material related to individual candidates who have an interest in being ranked for consideration for promotion. File also includes Assessment of Potential.</p>	<p>Destroy when 1 year old.</p> <p>Destroy when 2 years old or earlier if OPM evaluation of records is made.</p>	GRS 1/14b
HRM 1100.12 MERIT PROMOTIONS	<p>Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures and evaluation of candidates.</p> <p>This subject matter also includes Senior Executive Service (SES) merit promotion files which contain reference material, official file copies, correspondence to Office of Personnel Management, SF-171, Personal Qualification Statement, Personnel Qualification Ranking Schedule (Merit Promotion Plan); information on the approval or disapproval of promotion.</p>	<p>Cut off at end of fiscal year. Destroy after OPM audit or 2 years after the personnel actions is completed whichever is sooner.</p> <p>Cut off at end of fiscal year. Destroy when 2 years old or OPM evaluation of the records is made, providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.</p>	GRS 32
HRM 1100.13 PERFORMANCE EVALUATION	<p>Summary performance appraisal records, including performance and job elements and standards upon which they are based.</p>	<p>Destroy 4 years after date of appraisals.</p>	

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Title	Description of Records	Disposition	Authority
HRM 1100.13.1 Employee Performance Appraisals	a. Non-SES appointees (as defined in 5 U.S.C. 4301 (2))		
	1. Appraisal of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.	GRS 1/23a(1)
	2. Performance records superseded through and administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.	GRS 1/23a(2)
	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.	Place records on left side of OPF and forward to gaining federal agency upon transfer or to NPRC if employee separates.	GRS 1/23a (3)(a)
	(b) All other performance plans and ratings.	Destroy 4 years after date of appraisals.	GRS 1/23a (3)(b)
	4. Supporting documents.	Destroy 4 years after date of appraisals.	GRS 1/23a (5)
	b. SES Appointees (as defined in 5 USC 3132a(2)).		
	1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded	GRS 1/23b(1)
	2. All other performance appraisals along with job elements and	Destroy 5 years after date of appraisal.	GRS 1/23b(3)

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Title	Description of Records	Disposition	Authority
HRM 1100.14 TIME AND ATTENDANCE	standards (job expectations) upon which they are based, EXCLUDING those for SES appointments serving on a Presidential appointment 5 CFR 214. All time and attendance records upon which leave input data is based, such as time or sign in sheets; time cards (such as Optional Form (OF) 1130); flexi-time records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based.	Destroy GAO audit or when 6 years old, whichever is sooner.	GRS 2/7
HRM 1100.14.1 Leave Record	a. Original copy of SF-1150, Record of Leave Data, prepared upon transfer or separation.	File on right side of OPF. See PER Official Personnel Folder.	GRS 2/9a
	b. Agency copy of the SF-115	Destroy when 3 years old.	GRS 2/9b
	Supplement Payroll Files. Consists of pay vouchers and printouts of comprehensive payroll records used for workload and personnel management purposes.	Destroy after receipt of individual earnings record.	

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Title	Description of Records	Disposition	Authority
HRM 1100.15 CONDUCT AND DISCIPLINE	Case file in separate folders, individual Time and Attendance reports, by name of employee. Add Social Security Number if two or more employees have the same name. Includes separated employees.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2/7
HRM 1100.16 GRIEVANCES AND APPEALS	General material on the conduct of employees. Includes outside employment, political activities, social and/or fraternal organizations.	Cut off at end of fiscal year. Destroy 3 years after cut off.	
	Materials on investigations, complaints, conflict of interest, letters of warning, reprimands, and other disciplinary actions.	Cut off at end of fiscal year. Destroy 3 years after cut off.	
	Records originating in the review of grievances and appeals raised by TSA 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 reconsideration.	Destroy no sooner than 4 years but no later than 7 years after case is closed.	GRS 1/30a
HRM 1100.17 ADVERSE ACTIONS	Case files and records related to adverse action 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; statement of witnesses; employees reply; hearing notices, reports, and decision; reversals of action of appeal records. EXCLUDING letters of reprimand, which are filed in the OPF.	Destroy 5 years after case is closed.	GRS 1/30b

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Title	Description of Records	Disposition	Authority
<p>HRM 1100.18 PERSONAL INJURY FILES</p>	<p>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.</p>	<p>Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off.</p>	<p>GRS 1/31</p>
<p>HRM 1100.19 HEALTH INSURANCE</p>	<p>Contains SF-2809, Health Benefits Registration, used by each employee to enroll in the Federal Employees Health Benefit Program and SF-2810, Notice of Change in Health Benefits Enrollment, used by the employee to cancel, change, or take any action required that may effect their health plan.</p>	<p>Refer to HRM 1100.2 (Official Personnel Folder) for disposition.</p>	
<p>HRM 1100.20 RETIREMENT</p>	<p>Reports, Registers or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.</p>	<p>For CSS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.</p>	<p>GRS 2/28</p>

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Title	Description of Records	Disposition	Authority
HRM 1100.21 LABOR MANAGEMENT RELATIONS	a. Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.		
	(1) Office negotiating agreement	Destroy 5 years after expiration of agreement.	GRS 1/28a(1)
	(2) Other offices.	Destroy when superseded or obsolete.	GRS 1/28a(2)
	b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.	GRS 1/28b
HRM 1100.22 AWARDS AND COMMENDATIONS	Employee Awards File: General awards records, EXCLUDING those relating to departmental level awards.		
	a. Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, with-in grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval.	GRS 1/12a(1)
	b. Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.	Destroy when 2 years old.	GRS 1/12a(2)
HRM 1100.22.1 Incentive Awards	Correspondence and related materials on Secretary's and Administrator's Special Honor Award Quality Success-Increases,	Cut off at end of fiscal year. Destroy 3 years after cut off.	GRS 1/13

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Title	Description of Records	Disposition	Authority
	and Special Achievement Cash Awards for entire Agency.		