

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1 FROM (Agency or establishment) General Services Administration	
2. MAJOR SUBDIVISION Office of Government Ethics and Civil Rights	
3 MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE

<b>LEAVE BLANK (NARA use only)</b>	
JOB NUMBER NI-269-92-2	
DATE RECEIVED 6/1/92	
<b>NOTIFICATION TO AGENCY</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE JUN 19 1992	ARCHIVIST OF THE UNITED STATES <i>John W. Cal</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 \_\_\_ 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 5/20/92	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE GSA Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Chapter 24, OAD HB 1820.2		

*Copies sent to agency: NCF, NWT 6/27/92*

CHAPTER 24. ETHICS AND CIVIL RIGHTS PROGRAM RECORDS

1. General. This chapter gives instructions for records related to the Ethics and Civil Rights Program. The instructions are contained in:

- a. Appendix 24-A. Civil Rights Program Records
- b. Appendix 24-B. Ethics Program Records

2. Microfilming records. The records described in this chapter may be converted to microfilm and the original paper records destroyed if provided that the requirements and standards of the HB, GSA Micrographics Management Program (OAD P 1882.1), chs. 3-1 and 3 and 4, are met.

3. Electronic records.

a. The temporary records described in this chapter that are outputs of systems scheduled in chapter 27 of this handbook are eligible for disposal in both hard copy and electronic form. Electronic records designated for permanent retention must meet the requirements outlined in chapter 4 for transfer to the National Archives.

b. The terms "document" and "information," as used throughout this chapter, refer to electronic as well as paper records.

c. If temporary paper, microfilm, or electronic records described in this chapter are produced by a data base management system, the data base must be scheduled in chapter 27 of this handbook.

(Date signed)

OAD P 1820.2 CHGE

This appendix describes records related to the Civil Rights program. The program is concerned with ensuring equal opportunity in Federal employment and with nondiscrimination in Federal Financial Assistance Programs without regard to race, color, religion, sex, age, physical or mental handicap, or national origin, and reprisals. The records are created under title VII of the Civil Rights Act of 1964; the Equal Opportunity Act of 1972; title VI of the Civil Rights Act of 1964; section 504 of the Rehabilitation Act of 1973; the Age Discrimination in Employment Act of 1967; section 606 of the Federal Property and Administrative Services Act of 1949, Executive Order 11478; and rules and regulations implementing these authorities. The records are accumulated by the Civil Rights Division of the Office of Ethics and Civil Rights staff, Employee Appeals and Review staff; Office of the Administrator, Heads of Services and Staff Offices in Central Office and regional EEO Offices conducting Federal programs and activities.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
24A1- 24A20.	<u>Reserved.</u>	Note: The records described under pars. 24A40, 24A110, 24A115, 24A120, 24A130 and 24A135 qualify as vital records (see ch. 5-2).  The records described under pars. 24A22, 24A40 and 24A110 are subject to the Privacy Act of 1974 and must be maintained and disposed of in accordance with this act.
24A21.	<u>Equal employment opportunity counselors (NC1-269-81-1).</u> Documents appointing or designating individuals by name, organization, and location to serve as EEO counselors.	Destroy when superseded or obsolete.
24A22.	<u>Equal employment opportunity counseling files (NC1-269-81-1).</u> Documents created in counseling employees in regard to complaints of discrimination. Included are copies of GSA Form 2648, EEO Counseling Report; notes or summaries of counseling sessions; and similar records.	Forward to Office of Ethics and Civil Rights when complainant decides to file a formal complaint or destroy when no longer needed.
24A23.	<u>Equal employment opportunity training files (NC1-269-81-1).</u> Documents related to providing or conducting training sessions, workshops, and seminars related to the equal employment opportunity program.	Cut off at end of fiscal year; destroy 2 years after cutoff.
24A24.	<u>Reserved.</u>	
24A25.	<u>Affirmative Action Plans (AAP).</u> Documents containing numerical objectives (goals), timetables, strategies, and specifications designed to implement affirmative action programs in the Central Office and regional offices; and related records.  a. Agency copy of consolidated AAP(s) (GRS 1/25h(1)).  b. Agency feeder plans to consolidated AAP(s) (GRS 1/25h(2)).	Destroy 5 years from date of plan.  Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.



RECORD  
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DESCRIPTION OF RECORDS

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~~each case; and related records (GRS 1/25b).~~

24A41-  
24A44.

Reserved.

24A45.

Discrimination complaint status reports (- - -). Documents created in reporting data on the number of discrimination complaints on hand, received during the reporting period, closed during the reporting period, and number of cases in progress. Included are status reports to the Equal Employment Opportunity Commission, regional reports used in preparing GSA consolidated reports, and related records.

a. Central Office: Cut off at the end of the fiscal year; destroy 5 years after cutoff.  
b. Regional offices: Cut off at the end of the fiscal year; destroy 5 years after cutoff.

24A46-  
24A49.

Reserved.

24A50.

Equal employment statistics (NC1-269-81-1). Documents created in collecting, preparing, and reporting data on employee opportunities regardless of race, color, religion, sex, age, physical or mental handicap, or national origin. Included are requests for copies of special reports, responses to requests, minority group reports, reports on the status of females, and the handicapped employees, and related records.

Cut off at the end of the fiscal year; hold 2 years; and retire to FRC. Destroy 5 years after cutoff.

24A51-  
25A59.

Reserved.

24A60.

Special Emphasis Programs and project records (NC1-269-81-1). Documents accumulated in planning, administering, conducting, and assisting in special emphasis programs and projects nationwide that are not identified with other projects, and programs listed elsewhere in this appendix or in ch. 9. Included are projects or programs that may be requested by the Administrator as a means of keeping informed of local minority, women, or handicapped services programs.

Destroy when no longer needed for administrative purposes.

24A61-  
24A64.

Reserved.

24A65.

Nondiscrimination in federal financial assistance programs (NC1-269-81-1). Documents reflecting the general and specific records related to compliance actions taken by the agency and recipients to ensure nondiscrimination in federal financial assistance programs.

Destroy when superseded or obsolete.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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24A66- 24A69.	<u>Reserved.</u>	
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24A70.	<u>Responsible officials of federal financial assistance programs (NC1-269-81-1).</u> Documents accumulated that list officials of agency, State and local governments, and other officials responsible for ensuring nondiscrimination in federally assisted programs. Included are descriptions of their requirements, functions, responsibilities, and general compliance records.	Cut off at the end of the fiscal year; destroy 3 years after cutoff.
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24A71- 24A74.	<u>Reserved.</u>	
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24A75.	<u>Recipient assurance records (NC1-269-81-1).</u> Documents accumulated from applicants or recipients for determining compliance with statutes and regulations governing nondiscrimination. Included are race and sex data of beneficiaries served, compliance activities planned by the recipient to ensure nondiscrimination, and related records	Cut off at the end of the fiscal year; destroy 3 years after cutoff.
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24A76- 24A79.	<u>Reserved.</u>	
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24A80.	<u>Self-analysis records (NC1-269-81-1).</u> Documents accumulated from recipients' self-evaluations in administering the federal financial assistance programs, including plans from recipients detailing recommendations to remedy deficiencies, and progress reports of corrective actions.	Cut off at the end of the fiscal year; destroy 3 years after cutoff.
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24A81- 24A84.	<u>Reserved.</u>	
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24A85.	<u>Data and information collection records (NC1-269-81-1).</u> Documents accumulated by the agency to identify the eligible population and measure delivery of federal financial assistance programs benefits so that the quality and quantity of the benefits and services delivered are on a fair and equitable basis. Included are demographic data, race, ethnic statistics, and other relevant records.	Cut off at the end of the fiscal year; destroy 2 years after cutoff.
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24A86- 24A89.	<u>Reserved.</u>	
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24A90.	<u>Interagency cooperation and delegation agreement (NC1-269-81-1).</u> Agreements between GSA and other Federal agencies to cooperate in administering assistance or jointly coordinating compliance, and delegating lead agencies for compliance. Included are status reports from Federal agencies, cooperation agreements for monitoring compliance, and related records.	Destroy when no longer needed for administrative purposes.
24A91-24A94.	<u>Reserved.</u>	
24A95.	Withdrawn by CHGE.	
24A100.	<u>Postaward compliance records (NC1-269-81-1).</u> Documents accumulated from conducting desk audits, reviews of recipient's self-analysis, progress reports, onsite reviews, program reviews, and routine program reviews conducted by other agencies. Included are reports, copies of complaints, and related records.	Cut off at the end of the fiscal year; destroy 7 years after cutoff.
24A101-24A104.	<u>Reserved.</u>	
24A105.	<u>Onsite review records (NC1-269-81-1).</u> Documents created in conducting onsite reviews of a recipient's performance. Included are evaluations, summaries, copies of interviews, survey reports, and related records.	Cut off at the end of the fiscal year; destroy 7 years after cutoff.
24A106-24A109.	<u>Reserved.</u>	
24A110.	<u>Investigation complaint records ( - - - ).</u> Documents created in compiling the investigation complaints file and establishing the investigative report. Included are written complaints alleging discrimination, analyses of information submitted by complainant, reports, summaries of findings, affidavits, determinations, and related records.	Cut off at the end the fiscal year after completing action; hold 2 years; and retire to FRC. Destroy 4 years after cutoff.
24A111-24A114.	<u>Reserved.</u>	
24A115.	<u>Administrative sanction hearing records ( - - - ).</u> Documents accumulated in response to a request by a respondent for an administrative hearings. Included are requests to waive hearings, written arguments for the record, hearing transcripts, evidence, briefs, and related records.	Cut off at the end of the fiscal year on completing action; hold 2 years; and retire to FRC. Destroy 4 years after cutoff.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24A116-24A119.	<u>Reserved.</u>	
24A120.	<u>Decision and notices ( - - - ).</u> Documents related to actions taken by the Administrative Judge (AJ) who certifies the entire hearing record, which includes findings and a proposed decision to the Administrator. The AJ transmits certified copies to respondents, participants, the Special Counsel for Ethics and Civil Rights, and recipient. Included are written arguments to the Administrator and information regarding the Administrator's acceptance, rejection, modification, and final decision on the AJ's recommended findings and proposed decision.	Cut off at the end of the fiscal year after completing action; hold 2 years; and retire to FRC. Destroy 4 years after cutoff.
24A121-24A124.	<u>Reserved.</u>	
24A125.	<u>Technical guidance and training records (NC1-269-81-1).</u> Documents that reflect technical guidance and training provided by the Office of Ethics and Civil Rights staff to the regions, services, and staff offices.	Destroy when superseded or obsolete.
24A126-24A129.	<u>Reserved.</u>	
24A130.	<u>Conciliation records (NC1-269-81-1).</u> Documents created in notifying the Assistant Attorney General, Department of Justice, or Civil Rights Division on noncompliance actions. Included are summaries of findings, plans to correct noncompliance, and notices to recipients or respondents.	Cut off at the end of the fiscal year after completing action; hold 2 years; and retire to FRC. Destroy 5 years after cutoff.
24A131-24A134.	<u>Reserved.</u>	
24A135.	<u>Administrative sanctions records (NC1-269-81-1).</u> Documents created as a result of actions taken by the Director of Personnel or the Administrator when a respondent fail to satisfy conciliation agreements. Actions include, but are not limited to, refusing to provide, deferring, terminating, or suspending Federal financial assistance to a respondent.	Cut off at the end of the fiscal year after completing action, hold 2 years, and retire to FRC. Destroy 5 years after cutoff.
24A136-24A139.	<u>Reserved.</u>	
24A140.	<u>Compliance activity report records (NC1-269-81-1).</u> Documents reflecting the status of compliance activities. Included are reports, evaluations, analyses, and related records.	Cut off at the end of the fiscal year; hold 2 years; and retire to FRC. Destroy 3 years after cutoff.



(Date signed)

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24A141.	<u>Governmentwide contract for investigating discrimination complaints and preparing investigative reports ( - - - )</u> . Documents from investigating discrimination complaints and resulting reports. Included are technical guidance, modifications, amendments, and related documents.	Destroy when contract expires or is closed out.
24A142.	<u>Nondiscrimination in Federal programs and activities ( - - - )</u> . Documents accumulated from Heads of Services and Staff Offices related to evaluating GSA's programs to determine if there are barriers to individuals with handicaps.	Destroy when no longer needed.
24A143.	<u>Information and resources material ( - - - )</u> . Documents related to compliance and identifying barriers.	Destroy when no longer needed
24A144.	<u>Self-evaluation of Federal programs and activities ( - - - )</u> . Reports from GSA's organization relating whether there are barriers to individuals with handicaps. Included are reports with target dates to remove barriers.	<del>Destroy 3 years after receipt if no barriers are identified. Hold an additional 3 years those reports with target dates; destroy 1 year later.</del>
24A145.	<u>Technical assistance guides ( - - - )</u> . Documents related to sources from which information and aids can be obtained to ensure access of handicapped individuals to programs and activities conducted by GSA.	Destroy upon receiving yearly update.
24A146.	<u>Discrimination complaints ( - - - )</u> . Copies of complaints alleging discrimination with respect to access to programs administered by GSA. Included are complaints about architectural barriers in federal owned or leased buildings.	Destroy 3 years after receipt and acceptance of a complaint.

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*24A144 A. Reports of no barriers.*

*Destroy when 3 years old.*

*24A144 B. Reports ident. by barriers & setting target dates.*

*Destroy 4 years after target date.*

(Date signed)

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This appendix provides maintenance and disposition instructions for the GSA Ethics Program required by the Ethics in Government Act of 1978, the Ethics Reform Act of 1989, Executive Orders 12674 and 12731, and the conflict of interest statutes at 18 U.S.C., secs 202-209. The agency's responsibilities include supplementing Executive branch standards of conduct regulations, developing an agency wide training plan to ensure that all GSA employees are briefed on standards of conduct annually, and providing guidance on ethics. The following records were created under the authorities cited above.

The records are created by the Ethics Division of the Office of Ethics and Civil Rights, the Office of General Counsel, the Inspector General, GSA Board of Contract Appeals, Office of Personnel, Heads of Services and Staff Offices in Central Office and regional EEO Offices conducting Federal programs and activities.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
24B1.	<u>List of deputy standards of conduct counsellors ( - - - )</u> . Documents designating GS/GM employees and attorneys in the Offices of General Counsel and Inspector General, and one attorney on the GSA Board of Contract Appeals.	Destroy when superseded or obsolete.  Note: The records described under pars. 24B5, 24B6, 24B7, 24B9, 24B12 and 24B13 qualify as vital records (see ch 5-2).
25B2.	<u>Statement of employment and financial interests (see 21A85)</u> .	
24B3.	<u>Request To Inspect or Receive Copies of SF-278, Financial Disclosure Report (OPM Form 201)( - - - )</u> . Documents containing requests by individuals to review the SF 278.	Destroy 6 years after date of request.
24B4.	<u>Reserved</u> .	
24B5.	<u>Acknowledgment of Receipt of GSA Standards of Conduct (GSA Form 2160)( - - - )</u> Documents certifying that GSA employees have received a copy of the GSA Standards of Conduct. Included are employees' acknowledgements that they are familiar with the standards and their duty to comply with them.	Forward to Office of Personnel (Central Office/regions) for filing in the official personnel file.
24B6.	<u>Procurement Integrity Certification for Procurement Officials (Optional Form 333)( - - - )</u> Documents collected from procurement officials under sec 27 (L) of the Office of Federal Procurement Policy (OFPP) Act Amendments of 1988.	Forward to Office of Personnel (Central Office/regions) to be filed in the official personnel file.
24B7.	<u>Ethics Opinions ( - - - )</u> . Information related to employees' or their supervisors' request for information on conflict of interest or standards of conduct matters. Topics include conflicting financial interests, gratuities, outside employment, post-employment, and procurement integrity matters.	Review at end of fiscal year; destroy when no longer needed.
24B8	<u>Audit reports and records ( - - - )</u> . Documents containing the findings of audit surveys of the ethics program by the Office of Government Ethics (OGE), the General Accounting Office (GAO), and the GSA Office of Inspector General (J)	Review at end of fiscal year in which recommendations were made, destroy 6 years later or when no longer needed for reference, whichever is later. *

per MC e-mail  
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<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24B9.	<u>Administrative hearing records ( - - - )</u> . Documents generated during an administrative hearing under the old post-employment restrictions of 18 U.S.C. sec. 207.	Destroy 6 years after the decision is rendered or when no longer needed for reference, <i>whichever is sooner *</i>
24B10.	<u>Onsite audit review ( - - - )</u> . Documents resulting from review of the ethics program in the Central Office and regional offices. Included are evaluations, summaries, copies of interviews, survey reports, and related records.	Destroy 6 years after the report is issued or when no longer needed for reference, <i>whichever is sooner *</i>
24B11.	<u>Survey reports ( - - - )</u> . Annual documents filed with OGE on the state of the agency's ethics program.	Destroy 6 years after the report is forwarded to OGE.
24B12.	<u>Certificates of Divestiture ( - - - )</u> Documents collected under sec. 1043 of the Internal Revenue Code of 1986 and the Ethics Reform Act of 1989. Statute implementing regulation to permit the issuance of a certificate of divestiture to an "eligible person" who is required to dispose of property to comply with conflict of interest requirements.	Destroy 6 years after OGE issues Certificate.
24B13.	<u>Exemptions and waivers ( - - - )</u> . Documents collected under sections 203(d), 205(e), and 208(b) of title 18, United States Code.	Destroy 6 years after waiver is issued
24B14.	<u>Ethics program files ( - - - )</u> . Files pertaining to implementing the ethics' program. This category does not apply to 9B30 reading files.	Review at end of fiscal year; destroy when superseded or obsolete.
24B15.	<u>Reserved.</u>	
24B16.	<u>Travel review files ( - - - )</u> . Documents collected under 31 U.S.C. sec. 1353, Governmentwide regulation, and internal GSA policy. Included are documents which determine whether the agency can accept travel expenses from a non-Federal source.	Destroy 6 years after request is filed with the Special Counsel, except documents needed in an investigation must be kept until no longer needed in the investigation <i>NOTE: DOCUMENTS FILED WITH THE CASE WILL BE DESTROYED WITH THE CASE FILE.</i>
24B17.	<u>GSA's Annual Training Plan ( - - - )</u> Documents collected under secs. 301(b) and (c) of Executive orders 12674 and 12731. The annual report must be approved by the Office of Government Ethics.	Review at end of fiscal year; destroy when no longer needed.
24B18.	<u>Reserved.</u>	

*per MC e-mail concurrence.*

*MW  
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