

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
THE NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-403-05-13	
1. FROM (Agency or establishment) Equal Employment Opportunity Commission		DATE RECEIVED 3/10/05	
2. MAJOR SUBDIVISION Office of Human Resources		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Delphine Best	5. TELEPHONE (202) 663-4223	DATE	ARCHIVIST OF THE UNITED STATES WITHDRAWN

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 16 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 11/8/2004	SIGNATURE OF AGENCY REPRESENTATIVE <i>James Inzel</i>	TITLE 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 GRS OR SUPERSEDED JOB CITATION	10.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)
1	<p>Personnel Correspondence and Forms Files</p> <p>The Office of Human Resources establishes and maintains the Personnel Correspondence Files of the Commission. The file contains all the original incoming communications and initialed record copies of outgoing and interoffice correspondence arising from the functions for which the Office of Human Resources exists, rather than its internal administration or housekeeping activities. The Office of Human Resources arranges the correspondence in the file chronologically and alphabetically by issue/subject.</p> <p>The Office of Human Resources establishes and maintains the incoming and outgoing correspondence and forms relating to pending personnel action material related thereto in the Personnel Correspondence and Forms Files for one (1) year. After that, the Office of Human Resources should destroy all unofficial files/copies when no longer needed for reference, and the Office's official Personnel Correspondence Files may be:</p> <ul style="list-style-type: none"> -Stored in a separate letter-size two through five-drawer metal vertical or lateral filing cabinet with a lock in the office specifically for the Office's closed Personnel Correspondence Files material; or -Moved to a NARA compliant commercial or other federal agency record storage facility arranged by the Office of the Chief Financial Officer and Director of Administrative Services; or -Transferred to the Federal Records Center with the prior approval of the Office of the Chief Financial Officer and Director of Administrative Services. <p>When the official Personnel Correspondence and Forms Files material are three (3) years old, the Office of Human Resources either destroys or arranges for the destruction of these records then.</p>	GRS 1, Item no. 3	

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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)
2	<p>Official Personnel Folders (OPFs)</p> <p>The Office of Human Resources maintains the official personnel folders for all Commission employees. The Office of Personnel Management owns the personnel folder and its contents, which is part of the Governmentwide system of records OPM/GOVT-1..</p> <p>Each individual Official Personnel Folder contains permanent records affecting the employee's status and service as required by Civil Service laws and regulations, including reports of selection and other personnel actions named in section 2951 of title 5 of the United States Code. The long-term records included in the file are chosen to protect the legal and financial rights of the Government and the employee.</p> <p>Transferring employees. When a person transfers from the Commission to another agency OHR, on request from the gaining agency, transfers the folder to the new employing agency. Before making the transfer, OHR removes from the folder those records of a temporary nature filed on the left side of the folder; and ensures that all permanent records of the folder are complete, correct, and present in the folder.</p> <p>Separating employees. OHR retains the folders of persons separating from the Commission for thirty days or up to sixty days after their separation and then automatically transfers the folder to the National Personnel Records Center in St. Louis, MO. NPRC will store the folder until the folder is requested for re-employment purposes or other wise eligible for destruction sixty five (65) years after separation from Federal service.</p>	GRS 1, Item no. 1	
3	<p>Service Record Cards</p> <p>The Office of Human Resources maintains the SF-7s, Service Record Card, for Commission employees. Effective December 31, 1994, the SF-7 card became obsolete.</p> <p>OHR retains SF-7s until the separation or transfer of the employee. The SF-7s for separated or transferred employees are automatically destroyed onsite by OHR three (3) years after the employee's separation or transfer from the Commission.</p>	GRS 1, Item no. 2	
4	<p>Offers of Employment Files</p> <p>Correspondence, including letters and telegrams, offering appointments to potential employees.</p> <p>OHR retains accepted offers until the offered appointment is effective. When the name is received from an OPM certificate of eligibles the certificate of eligibles is returned to OPM with reply and application. Offers for temporary or accepted appointment are filed with application and retained until receipt of an OPM inspection report or when two (2) years old, whichever is earlier. At such time, OHR automatically destroys locally the offers with the applications. OHR destroys immediately all other offers.</p>	GRS 1, Item no. 4	
5	<p>Certificate of Eligibles Files</p> <p>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.</p> <p>OHR automatically destroys onsite when two (2) years old.</p>	GRS 1, Item no. 5	
6	<p>Employee Record Cards</p> <p>Employee record cards used for informational purposes outside personnel offices (such as SF 7B).</p> <p>[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]</p> <p>OHR automatically destroys onsite on separation or transfer of employee.</p>	GRS 1, Item no. 6	

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7	<p>Position Classification Files-Position Classification Standards Files</p> <p>OHR maintains the OPM Position Classification Files of the Commission. The files consist of the position classification standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the Commission.</p> <p>OHR retains these files until superceded or obsolete when OHR automatically destroys onsite the superceded or obsolete materials.</p>	GRS 1, Item no. 7	
8	<p>Position Classification Files-Commission Position Classification Standards Files</p> <p>OHR maintains the Commission's Position Classification Files. The files consist of the correspondence and other records relating to the development of standards for classification of position peculiar to the Commission, and OPM approval or disapproval. A case and review file is established for each OPM approved and disapproved Commission position classification standard.</p> <p>OHR maintains the case file for each OPM approved and disapproved Commission position classification standard for five (5) years after the position for which the standard is used is abolished or description is superseded. OHR automatically destroys the expired file locally. The review file for each Commission position classification standard is retained by OHR until its two (2) years old when it is automatically destroyed locally by OHR.</p>	GRS 1, Item no. 7 a. (2)	
9	<p>Position Classification Files-Position Descriptions</p> <p>OHR maintains the record copies of all of the position descriptions of the Commission. The record copy of position descriptions include information on title, series, grade, duties and responsibilities, and related documents.</p> <p>The record copies of the Commission's position descriptions are kept by OHR for two (2) years after the position concerned is abolished or description is abolished or superseded when OHR automatically destroys locally the position description.</p>	GRS 1, Item no. 7 a. (2) (b)	
10	<p>Position Classification Files-Survey Files</p> <p>The Position Classification Survey Files of the Commission are maintained by OHR. The files consist of classification survey reports on various positions prepared by classification specialists, including periodic reports. The survey files also consist of the record copies of inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.</p> <p>OHR keeps the record copies of the material contained in the classification survey reports files until they are either three (3) years old, or two (2) years old after inspection by OPM, whichever is sooner. After which, OHR automatically destroys locally the aged classification survey reports.</p> <p>When obsolete or superseded, OHR automatically destroys locally the record copies of the inspection, and audit files including, report, and other records relating to the inspections, surveys, desk audits, and evaluations.</p>	GRS 1, Item no. 7 c. (1)	
11	<p>Position Classification Files-Appeals Files</p> <p>OHR maintains the Position Classification-Appeals Files of the Commission. These files consist of the case files relating to classification appeals by Commission employees, excluding OPM classification certificates, and certificates of classification issued by OPM for Commission positions.</p> <p>OHR automatically destroys locally all classification appeal case files when they are three (3) years old after the date the case is closed.</p> <p>OHR retains all OPM certificates of classification until the affected position is abolished or superseded when OHR automatically destroys locally the certificates about the abolished or superseded position.</p>	GRS 1, Item no. 7 d.	

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17	<p>Employee Awards Files-Letters of Commendation and Appreciation</p> <p>OHR maintains in the Commission's Employee Awards Files the record copies of letters to employees recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the OFF</p> <p>The record copies of letters of commendation and appreciation are maintained in the Employee Awards Files until they are two (2) years old from the date of issuance. After that, OHR automatically destroys them locally.</p>	GRS 1, Item no. 12 c.	
18	<p>Employee Awards Files-Lists of nominees and winners and indexes of nominations</p> <p>OHR maintains the lists of nominees and winners and indexes of nominations for awards of the Commission.</p> <p>OHR retains the lists and indexes until they are superseded or obsolete when OHR automatically destroys them locally.</p> <p>[NOTE: These disposition instructions do not apply to Commission-level awards records. Records relating to Commission-level awards must be scheduled by OHR by submitting a SF 115, Request for Records Disposition Authority, to NARA for their appropriate disposition.]</p>	GRS 1, Item no. 12 d	
19	<p>Incentive Awards Program Reports</p> <p>OHR maintains the record copies of the Commission's incentive awards program reports, which pertain to the operations of the Commission's incentive awards program. The reports are arranged chronologically and filed in the Incentive Awards Program Reports file of the Commission.</p> <p>OHR retains the Commission's incentive awards program reports until they are three (3) years old from the date of the end of the period to which the report pertains to. After that, OHR automatically destroys locally the three (3) year old reports.</p>	GRS 1, Item no. 13	
20	<p>Notifications of Personnel Actions-Chronological File</p> <p>OHR maintains the Notification of Personnel Actions Chronological File of the Commission. The file contains the chronological file copies, arranged chronologically and by type of personnel action, of all Commission notifications of personnel actions such as employment, promotions, transfers, separations, exclusive of the copy in the OFF.</p> <p>OHR retains the individual personnel actions in the Notification of Personnel Actions Chronological File until they are two (2) years old when OHR automatically destroys the two (2) year-old personnel actions. Excluding copies in the OFF, OHR automatically destroys all other copies of notifications of personnel actions when they are one (1) year old.</p>	GRS 1, Item no. 14	
21	<p>Employment Applications</p> <p>OHR maintains the Employment Applications file of the Commission. The file consist of applications, including Optional Form (OF) 612, resumes, and any other applications developed by the Commission for its unique jobs with specialized requirements, and related records, excluding records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OFF.</p> <p>OHR keeps all the employment applications received by the Commission until inspected by OPM or when two (2) years old, whichever is earlier. When, OHR automatically destroys the inspected or two (2) year old employment applications.</p>	GRS 1, Item no. 15	

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22	<p>Personnel Operations Statistical Reports</p> <p>OHR maintains the registers and related records used to effect reduction-in-force actions in the Commission, including reduction-in-force registers from which no reduction-in-force actions have been taken and related records.</p> <p>OHR safeguards reduction-in-force registers and material related thereto from which reduction-in-force actions have been taken until they two (2) years old from the effective date of the actions. After that, OHR automatically destroys the two (2) year-old registers locally. OHR automatically destroys locally all other reduction-in-force registers from which no reduction-in-force actions have been taken when they superseded or obsolete.</p>	GRS 1, Item no. 17 b.	
23	<p>Reduction-In-Force Retention Registers</p> <p>OHR maintains the registers and related records used to effect reduction-in-force actions in the Commission, including reduction-in-force registers from which no reduction-in-force actions have been taken and related records.</p> <p>OHR safeguards reduction-in-force registers and material related thereto from which reduction-in-force actions have been taken until they two (2) years old from the effective date of the actions. After that, OHR automatically destroys the two (2) year-old registers locally. OHR automatically destroys locally all other reduction-in-force registers from which no reduction-in-force actions have been taken when they superseded or obsolete.</p>	GRS 1, Item no. 17 b.	
24	<p>Supervisors' Personnel Files</p> <p>OHR oversees the establishment and maintenance of the Supervisors' Personnel Files in the headquarters and field of the Commission. The Supervisors' Personnel Files consist of 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.</p> <p>OHR ensures the Supervisors' Personnel Files are reviewed annually and superseded or obsolete documents in the files are destroyed, or that files for transferred or separated employees are destroyed within one (1) year after their separation or transfer.</p>	GRS 1, Item no. 18	
25	<p>Individual Non-Occupational Health Records</p> <p>OHR maintains the Individual Non-Occupational Health Record Files of the Commission. The files contain 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 the employee medical records in their Employee Medical Folder.</p> <p>OHR retains the individual non-occupational health records file for six (6) years after the date of last entry of medical information in an individual's file. After that OHR, automatically destroys the individual's file.</p>	GRS 1, Item no. 19	
26	<p>Health Unit Control Files</p> <p>OHR maintains the Health Unit Control Files of the Commission. The files consist of logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.</p> <p>Where the information is summarized on statistical reports, OHR retains the logs or registers from which the information was obtained for three (3) months after last entry on the logs or registers. If the information is not summarized, OHR retains the logs or registers.</p>	GRS 1, Item no. 20	
27	<p>Employee Medical Folder (EMF)</p> <p>OHR maintains the Employee Medical Folders of the Commission. The folders contain long-term medical records as defined in 5 CFR Part 293, Subpart E, and temporary or short-term records.</p>	GRS 1, Item no. 21 (1)	

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	<p>[NOTE: Electronic master files and data bases created to supplement or replace the Employee Medical Folder are not authorized for disposal under the General Records Schedule of NARA. Such files must be scheduled by OHR by an SF 115 submitted to NARA for approval or disapproval.]</p>		
27a	<p>Transferring employees. When a person transfers from the Commission to another agency OHR, transfers the folder following the instructions in Subpart E, 5 CFR 293. Before transferring the folder, OHR removes from the folder those records of a temporary nature and ensures that all long-term records of the folder are complete, correct, and present in the folder.</p> <p>All of the temporary records removed from the transferred folder are retained by OHR for one (1) year after the employee's transfer when OHR automatically destroys them locally.</p>	GRS 1, Item no. 21 (1)	
27b	<p>Separating employees. OHR retains the folders of persons separating from the Commission for thirty (30) days after their separation and then automatically transfers the folder to the National Personnel Records Center in St. Louis, MO. Before transferring the folder, OHR removes from the folder those records of a temporary nature and ensures that all long-term records of the folder are complete, correct, and present in the folder.</p> <p>All of the temporary records removed from the transferred folder are retained by OHR for one (1) year after the employee's separation when OHR automatically destroys them locally.</p> <p>NPRC destroys the transferred folders seventy-five (75) years after the birth date of the employee; sixty (60) years after the date of the earliest document in the folder, if the date of birth cannot be ascertained; or thirty (30) years after latest separation, whichever is later.</p>	GRS 1, Item no. 21 (2)	
28	<p>Statistical Summaries-Employee Health</p> <p>The record copies statistical summaries and reports with related papers pertaining to the health of Commission employees are maintained by OHR.</p> <p>[NOTE: Electronic master files and data bases created to supplement or replace the employee health statistical summaries and reports are not authorized for disposal under the General Records Schedule of NARA. Such files must be scheduled by OHR on an SF 115 submitted to NARA for approval or disapproval.]</p> <p>OHR retains the statistical summaries for two (2) years after the date of summary or report when OHR automatically destroys the two (2) years old summary or report locally.</p>	GRS 1, Item no. 22	
29	<p>Employee Performance File System Records</p> <p>OHR maintains the Employee Performance File System Records of the Commission for its Non-SES appointees, as defined in 5 U.S.C. § 4301(S) and SES appointees as defined in 5 U.S.C. § 3132a(2).</p> <p>[NOTE: Performance records pertaining to Presidential appointees are not covered by NARA's General Records Schedule. Such records must be scheduled by submitting an SF 115 to NARA.]</p> <p>Non-SES appointees:</p>		
29a	<p>- General. Excluding performance records superseded through an administrative, judicial, or quasi-judicial procedure, or unacceptable performance appraisals, or former employees performance-related records, OHR retains for four (4) years the record copies of all individual performance plans and ratings, including supporting documents and other summary performance appraisals such as performance appraisals and job elements and standards upon which they are based, for Commission non-SES appointees when OHR automatically destroys locally the expired plans and ratings.</p>	GRS 1, Item no. 23	

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29a (1)	<p>- Unacceptable performance appraisals. OHR automatically destroys locally all appraisals of unacceptable performance for non-SES appointees, where a notice of proposed demotion or removal is issued but not effected and all related documents, after the employee completes one (1) year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.</p>	GRS 1, Item no. 23a(1)	
29a (2)	<p>- Administrative, judicial, or quasi-judicial performance records supersession. OHR automatically destroys locally all performance records superseded through an administrative, judicial, or quasi-judicial procedure when superseded.</p> <p>SES-appointees.</p>	GRS 1, Item no. 23a(2)	
29b	<p>- General. Excluding performance records superseded through an administrative, judicial, or quasi-judicial procedure, and former SES appointee performance-related records, OHR retains for five (5) years the record copies of all individual performance plans and ratings, including supporting documents and other summary performance appraisals such as performance appraisals and job elements and standards upon which they are based, for Commission SES appointees when OHR automatically destroys locally the expired plans and ratings.</p>	GRS 1, Item no. 23b	
29b (1)	<p>- Administrative, judicial, or quasi-judicial performance records supersession. OHR automatically destroys locally all performance records superseded through an administrative, judicial, or quasi-judicial procedure when superseded.</p>	GRS 1, Item no. 23b(1)	
29b (2)	<p>- Former SES appointee performance-related records. Except the appointee's latest rating of record that is less than five (5) years old, including the performance plan upon which it is based, and any summary rating, all other performance ratings and plans of a former SES appointee are retained until they are five (5) years old when OHR then automatically destroys them locally.</p> <p>OHR places the former SES appointee's latest of record that is less than five (5) years old, including the performance plan upon which it is based, and any summary rating on the left side of the former SES appointee's OPF and forwards it to the gaining federal agency upon transfer or to the National Personnel Records Center if the appointee leaves federal service.</p>	GRS 1, Item no. 23b(2)	
30	<p>Employee Housing Requests</p> <p>OHR maintains the official Employee Housing Requests file of the Commission. The file contains the record copies of all employee housing requests requesting assistance of the Commission in housing matters, such as rental or purchase.</p> <p>OHR retains the individual requests in the file until they are one (1) year old when OHR automatically destroys the one (1) year old requests locally.</p>	GRS 1, Item no. 25 e.	
31	<p>Personnel Counseling Records-Counseling Files</p> <p>OHR maintains the official Personnel Counseling Files of the Commission for headquarters Commission employees, and oversees the same such files maintained by the field offices for Commission field employees. The file consists of folders containing records that cover an individual's counseling by personnel that include reports of interviews, analyses, and related records.</p> <p>OHR ensures that all official individual file folders maintained in headquarters and field offices are retained for and destroyed three (3) years after termination of the individual's counseling.</p>	GRS 1, Item no. 26 a.	
32	<p>Personnel Counseling Records-Alcohol and Drug Abuse Program</p> <p>OHR maintains the official records arising from the Alcohol and Drug Abuse Program of the Commission. This consists of records created in planning, coordinating, and directing the Commission's alcohol and drug abuse program.</p> <p>OHR retains the record copies of the records arising from the planning, coordinating, and directing the Commission's Alcohol and Drug Abuse Program until they are three (3) years old when OHR automatically destroys them locally.</p>	GRS 1, Item no. 26 b.	

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33	<p>Standards of Conduct Files</p> <p>The official Standards of Conduct Files of the Commission are maintained by OHR. The files consist of individual folders, arranged by subject, containing correspondence, memoranda, and other records relating to the employee codes of ethics and standards of conduct.</p> <p>OHR retains the Commission's record copies of its Standards of Conduct Files records until the file material is obsolete or superseded when OHR automatically destroys them locally.</p>	GRS 1, Item no. 27	
34	<p>Labor Management Relations Records-Labor Management Relations General and Case Files</p> <p>OHR establishes and maintains the official Labor Management Relations General and Case Files of the Commission. The files consist of individual folders containing correspondence, memoranda, reports, and other records relating to the relationship between Commission management and employee unions or other groups.</p> <p>OHR retains the Commission's official Labor Management Relations General and Case Files records until they are five (5) years old after expiration of the agreement to which the records pertain to. After that, OHR automatically destroys the five (5) year old file records.</p>	GRS 1, Item no. 28 a.	
35	<p>Labor Management Relations Records-Labor Arbitration General and Case Files</p> <p>OHR maintains the official Labor Arbitration General and Case Files of the Commission. The files consist of individual folders containing correspondence, forms, and background papers relating to individual labor arbitration cases involving the Commission.</p> <p>The files are maintained by OHR for five (5) years after final resolution of the case to which the file pertains. When all of the records in an individual file folder are five (5) years old, OHR automatically destroys the five (5) year-old file and its contents locally.</p>	GRS 1, Item no. 28 b.	
36	<p>Training Records-General File of Commission Sponsored Training</p> <p>OHR maintains the official General File of Commission Sponsored Training of the Commission. Excluding the record copy of manuals, requirement reviews, plans, and objectives relating to the establishment and operations of training courses and conferences, the file contains record copies of the correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences of the Commission.</p> <p>[NOTE: All of the training records described above as excluded from this item no. must be scheduled by OHR through the Office of Chief Financial Officer and Director of Administrative Services by submission of an SF 115 to NARA.]</p> <p>OHR retains the material in the Commission's General File of Commission-sponsored Training until it is five (5) years old or five (5) years after completion of a specific training program, excluding background and work files that OHR automatically destroys locally when three (3) years old.</p>	GRS 1, Item no. 29 a.	
37	<p>Training Records-Employee Training</p> <p>OHR maintains the employee training records of the Commission. The records consist of correspondence, memoranda, reports, and other record relating to the availability of training and employee participation in training programs sponsored by other government agencies or other non-Government institutions.</p> <p>OHR retains the record copies of all employee training records until they are five (5) years old or when superseded or obsolete, whichever is sooner, when OHR automatically destroys locally the closed records.</p>	GRS 1, Item no. 29 b.	

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38	<p>Audiovisual Records-Internal Personnel and Administrative Training Audiovisual Records that Do Not Reflect the Mission of the Commission</p> <p>OHR collects, compiles, and centrally maintains the internal personnel and administrative training audiovisual records of the Commission that do not reflect its mission.</p>		
38a	<p>Motion Pictures. OHR retains motion picture films acquired from outside sources for personnel and management training until they are one (1) year old after completion of the training to which they pertain when it automatically destroys locally the one (1) year old records.</p>	GRS 21, Item no. 17	
38b	<p>Video Recordings. Video recordings acquired from outside sources for personnel and management training is also kept by OHR until they are one (1) year old after completion of the training to which they pertain when it automatically destroys locally the one (1) year old records.</p>	GRS 21, Item no. 14	
39	<p>Audiovisual Records-Motion Picture Films Acquired from Outside Sources for Personnel and Management Training</p> <p>OHR collects, compiles, and centrally maintains all the motion films acquired by the Commission from outside sources for Commission personnel and management training purposes.</p> <p>OHR retains such films for training purposes until they are one (1) year old after completion of the training program for which the films are used when OHR automatically destroys.</p>	GRS 21, Item no. 9	
40	<p>Administrative Grievance Files (5 CFR 771)</p> <p>The official Administrative Grievance Files of the Commission are maintained by OHR. The file contains records relating to grievances raised by Commission employees, except EEO complaints. The individual grievance files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibit, and records relating to a reconsideration request.</p> <p>OHR may keep each official individual employee grievance file for four (4) years but no later than seven (7) years after the grievance to which the grievance file pertains is closed when OHR automatically destroys locally the file concerned.</p> <p>[NOTE: OHR keeps all closed administrative grievance files for either four (4) or seven (7) years. OHR does not use different retention period for individual employee grievance files and OHR has published in the Privacy Act for these records the retention period it has chosen.]</p>	GRS 1, Item no. 30 a,	
41	<p>Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432)</p> <p>OHR maintains the official Adverse Action Files and Performance-Based Actions records of the Commission. These files and records relate to adverse actions and performance-based actions (removal, suspension, reduction-in-force, furlough) against Commission employees. Excluding letters of reprimands filed in the employee's OPF, the individual employee files contain the record copies of proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records.</p> <p>OHR may keep each official adverse action and performance-based file for four (4) years but no later than seven (7) years after the action to which the file pertains is closed when OHR then automatically destroys locally the file concerned and its contents.</p> <p>[NOTE: OHR keeps all closed such files for either four (4) or seven (7) years. OHR does not use different retention period for individual employee grievance files and OHR has published in the Privacy Act for these records the retention period it has chosen.]</p>	GRS 1, Item no. 30 b.	

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42	<p>Personal Injury Files</p> <p>The official Personal Injury Files of the Commission are maintained by OHR. The individual files contain forms, reports, correspondence, and related medical and investigatory records relating to on-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>OHR maintains each individual file as an open file until termination of compensation or when deadline for filing a claim has passed. Then, the individual file concerned is closed or cut off and kept by OHR for three (3) years from the date the file is closed. OHR automatically destroys locally the closed file then.</p>	GRS 1, Item no. 31	
43	<p>Merit Promotion Case Files</p> <p>All of the Commission's official merit promotion case files are maintained by OHR. These files consist of individual files containing records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.</p> <p>OHR retains each official individual merit promotion case file until it is two (2) years after the personnel action is completed or immediately after an OPM audit, whichever is sooner.</p>	GRS 1, Item no. 32	
44	<p>Examining and Certification Records</p> <p>Reserved.</p>		
45	<p>Occupational Injury and Illness Files</p> <p>OHR maintains the official Occupational Injury and Illness Files of the Commission. The files contain 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.</p> <p>OHR retains material in the Occupational Injury and Illness Files until they are five (5) years old when OHR automatically destroys locally the closed files material.</p>	GRS 1, Item no. 34	
46	<p>Denied Health Benefits Requests Under Spouse Equity Act</p> <p>The official Denied Health Benefits Requests Under the Spouse Equity Act files are maintained by OHR. The files are denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.</p>		
46a	<p>Health benefits denied, not appealed. The individual official Denied Health Benefits Requests Under the Spouse Equity Act files are kept by OHR until they are three (3) years old where health benefits are denied, and not appealed, when OHR automatically destroys the file concerned locally.</p>	GRS 1, Item no. 35 a.	
46b	<p>Health benefits denied, successfully appealed. Where health benefits are denied by the Commission and successfully appealed to OPM, OHR keeps the file concerned to create an enrollment file according to Subchapter S17 of the FEHB Handbook.</p>	GRS 1, Item no. 35 b. (1)	
46c	<p>Health benefits denied, unsuccessfully appealed. If the appeal to OPM unsuccessful, OHR keeps the file for the unsuccessful appeal until it is three (3) years old from the date of denial by OPM when OHR automatically destroys locally the denied file and its contents.</p>	GRS 1, Item no. 35 b.(2)	

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47	<p>Federal Workplace Drug Testing Program Files</p> <p>The official Federal Workplace Drug Testing Program Files of the Commission are maintained by OHR. The files consist of the Commission's drug testing program records created and received under Executive Order 12564 and Public Law 100-71, Section 303 (101 Stat. 468), excluding consolidated statistical and narrative reports concerning the operation of the Commission program, including annual reports to Congress, as required by Pub. L. 100, § 503(f).</p> <p>[NOTE: (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 NARA's Governmentwide recordkeeping requirement under General Records Schedule 1, Item no. 30b. Any positive test results records that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]</p>	GRS 1, Item no. 36	
47a	<p>Commission drug test plans and procedures. Excluding documents filed in record sets of formal issuances (directives, procedural handbooks, operating manuals, and the like), OHR retains the record copies of the Commission's plans and procedures, with related drafts, correspondence, memoranda, and other pertinent records about the development of procedures for the Commission's drug testing programs, including the determination of testing incumbents in designated positions, until they are three (3) years old or when superseded or obsolete when OHR destroys the records locally.</p>	GRS 1, Item no. 36a.	
47b	<p>Employee acknowledgment of notice forms. OHR retains the record copies of all forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested until the employee separates from the testing-designated position when OHR automatically destroys locally the employee forms.</p>	GRS 1, Item no. 36 b.	
47c	<p>Selection/scheduling records. The records relating to the selection of specific employees/applicants for testing and scheduling of tests (including lists of selectees, notification letters, and testing schedules, are kept by OHR until they are three (3) years old.</p>	GRS 1, Item no. 36 c.	
47d	<p>Specimen collection and handling records-"Permanent" Records Books. OHR retains the "Permanent Records Books identifying data on each specimen recorded at each collection site in the order in which the specimens were taken for three (3) years after the date of last entry in the books. At such time, OHR automatically destroys the books locally.</p>	GRS 1, Item no. 36 d. (1)	
47e	<p>Specimen collection and handling records-Chain of custody records. The forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen are kept by OHR until they are three (3) years old when OHR automatically destroys the records locally.</p>	GRS 1, Item no. 36 d. (2)	
47f	<p>Test Results-Positive Results. OHR retains records documenting individual positive test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing until the individual leaves the Commission or when three (3) years old, whichever is later.</p>	GRS 1, Item no. 36 e. (1)	
47g	<p>Test Results-Negative Results. OHR retains negative result test result records for three (3) years and automatically destroys locally the records when they are three (3) years old.</p>	GRS 1, Item no. 36 e. (2)	
48	<p>Donated Leave Program Case Files</p> <p>OHR maintains the Donated Leave Program Case Files of the Commission. The individual case files document the receipt and donation of leave for medical emergencies, including recipient applications, Commission 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.</p> <p>OHR retains each individual case until it is one (1) year old from the date in which the case is closed when OHR automatically destroys the file locally.</p>	GRS 1, Item no. 37	

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49	<p>Wage Survey Files</p> <p>OHR establishes and maintains the Wage Survey Files, as appropriate. The files consist of wage survey reports and data, and background documents and correspondence about 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 requests for authorization of specific rates, excluding authorized wage schedules and wage survey recapitulation sheets.</p> <p>OHR retains the records in the files until they are superseded after completion of a second succeeding wage survey when OHR automatically destroys the superseded records locally.</p>	GRS 1, Item no. 38	
50	<p>Retirement Assistance Files</p> <p>The Retirement Assistance Files of the Commission are maintained by OHR. The individual files contain correspondence, memoranda, annuity estimates, and other records used to assist retiring Commission employees or their survivors claim insurance or retirement benefits.</p> <p>OHR retains the individual files and their contents until it is one (1) year old from the date that assistance was given when OHR automatically destroys locally such files.</p>	GRS 1, Item no. 39	
60	<p>Handicapped Individual Appointment Case Files</p> <p>OHR maintains the Handicapped Individual Appointment Case files of the Commission. The files are individual case files containing position title and description; fully executed SF 171 or equivalent; 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 according to FPM chapter 306-11, subchapter 4-2, or later OPM pertinent issuance.</p> <p>OHR retains each individual case file until it is five (5) years old from the date of approval or disapproval of accommodation when OHR automatically destroys locally the five (5) year-old files concerned.</p>	GRS 1, Item no. 40	
61	<p>Pay Comparability Records</p> <p>OHR maintains the Pay Comparability Records of the Commission. The records are 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.</p> <p>OHR retains the Commission's Pay Comparability Records and case files until they are three (3) years old following date of approval or upon completion of the relevant service agreement or allowance, whichever is later.</p>	GRS 1, Item no. 41	
62	<p>Alternate Worksite Records</p> <p>The Commission's Alternate Worksite Records are maintained by OHR. The records consist of individual approved and unapproved requests or applications to participate in an alternate worksite program; agreements between the Commission 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.</p>	GRS 1, Item no. 42	
62a	<p>Approved Requests. OHR retains the individual case files for each approved employee Alternative Worksite request or application for one (1) year after the end of the employee's participation in the program when OHR automatically destroys them locally.</p>	GRS 1, Item no. 42 a.	
63b	<p>Unapproved Requests. OHR retains the individual case files for each unapproved employee Alternative Worksite request or application for one (1) year from the date the request or application is rejected when OHR automatically destroys the case files and their contents for the unapproved requests.</p>	GRS 1, Item no. 42 b.	

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63c	Forms and other records. Forms and other records generated by the Commission or participating employee evaluating the alternative worksite program are kept by OHR until they are one (1) year old, or when no longer needed, whichever is later.	GRS 1, Item no. 42 c.	
64	<p>Payroll Individual Employee Pay Record</p> <p>OHR directly or through the Commission's payroll processor maintains the individual employee payroll record for each employee of the Commission.</p> <p>OHR directly or through the Commission payroll processor retains the pay record for each employee as maintained in an electronic data base, which may be a stand-alone payroll system or part of a combined personnel/payroll system, are updated in part or in whole as required.</p> <p>Individual pay records, which may be in paper or microform but not in machine readable form, containing pay data on each employee within the Commission are kept for one (1) year following the end of the pay year to which they pertain to. After that, the individual pay records may be:</p> <ul style="list-style-type: none"> -Stored in a separate letter-size two through five-drawer metal vertical or lateral filing cabinet with a lock in the office specifically for individual pay records; or -Moved to a NARA compliant commercial or other federal agency record storage facility arranged by the Office of the Chief Financial Officer and Director of Administrative Services; or -Transferred to the Federal Records Center with the prior approval of the Office of the Chief Financial Officer and Director of Administrative Services. <p>When the employee separates or transfers, the employee's pay records are automatically transferred to the National Personnel Records Center to retain until fifty-six (56) years old when they are automatically destroyed.</p>	GRS 2, Item no. 1	
65	<p>Noncurrent Payroll Files</p> <p>OHR directly or through the Commission's payroll processor maintains the copies of noncurrent payroll data as maintained by the Commission's payroll processor in either microform or machine-readable form.</p> <p>OHR directly or through the Commission's payroll processor retains the noncurrent payroll files copy of noncurrent payroll data as maintained by the Commission's payroll processor in either microform or machine-readable form to automatically destroy fifteen (15) years after close of the pay year in which generated.</p>	GRS 2, Item no. 2	
66	<p>Time and Attendance-Leave Application Files</p> <p>OHR oversees the establishment and maintenance of the employee Leave Application Files in the headquarters and field offices of the Commission. The files contain employee leave applications and any supporting documentation of requests and approvals of leave.</p> <p>Where the employee initials time card or equivalent, OHR ensures employee leave applications and documentation related thereto are destroyed at the end of the following pay period in which the leave was used.</p> <p>If the employee has not initialed time card or equivalent, OHR ensures the employee's leave application plus any supporting documentation are kept to destroy only after GAO audit or when three (3) years old, whichever is sooner.</p>	GRS 2, Item no. 6	
67	<p>Time and Attendance Source Records</p> <p>OHR oversees the maintenance of the Time and Attendance Source Records of the Commission in the headquarters and field offices.</p>	GRS 2, Item no. 7	

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	<p>The Commission's Time and Attendance Source Records consist of 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); 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.</p> <p>OHR ensures all headquarters and field offices retain the time and attendance source records for their office employees automatically to destroy only after GAO audit or when six (6) years old, whichever is sooner.</p>		
68	<p>Time and Attendance-Time Attendance Input Records</p> <p>OHR directly or through the Commission's payroll processor maintains the Time and Attendance Input Records of the Commission. The records consist of paper or machine readable form used to input time and attendance data on Commission employees into a payroll system.</p> <p>OHR or the Commission's payroll processor retains the input form to destroy only after GAO audit or when six (6) years old, whichever is sooner.</p>	GRS 2, Item no. 8	
69	<p>Time and Attendance-Leave Record</p> <p>OHR directly or through the Commission's payroll processor creates or receives the Individual Leave Record for each Commission employee.</p> <p>Upon separation or transfer of Commission employee, OHR prepares or obtains from the Commission's payroll processor the employee's record of leave, such as SF 1150, to file on the right side of the employee's OPF.</p> <p>OHR or the Commission's payroll processor retains the separate record copy of each leave record prepared by OHR or the Commission's payroll processor for a separated or transferred employee destroy only after the leave is three (3) years old.</p>	GRS 2, Item no. 9	
70	<p>Tax Files</p> <p>OHR directly or through the Commission's payroll processor maintains the employer Tax Files of the Commission. The files contain Commission employee withholding allowance certificates; Commission copy of employee wages and tax statements; and Commission copies of its employer reports of Federal tax withheld, including reports relating to income and social security tax, and state equivalents.</p> <p>OHR or the Commission's payroll processor retains Commission employee withholding allowance certificates and their state equivalents to destroy only four (4) years after superseded or obsolete or upon separation of employee.</p> <p>The Commission's copies of employee wages and tax documents, such as IRS Form W-2 and state equivalents, are retained by OHR or the Commission's payroll processor to destroy only when four (4) years old.</p>	GRS 2, Item no. 13	
71	<p>Savings Bond Purchase Files</p> <p>OHR directly or through the Commission's payroll processor maintains the Savings Bond Purchase Files of the Commission.</p> <p>Authorizations for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalents are retained to destroy only when superseded or after separation of employees.</p> <p>U.S. Savings Bond registration files: issuing agent's copies of bond registration stubs to destroy only four (4) months after the date of issuance of a bond.</p> <p>U.S. Savings Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds are retained to destroy only four (4) months after the date of issuance of a bond.</p>	GRS 2, Item no. 14	

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72	<p>Combined Federal Campaign and Other Allotment Authorizations</p> <p>OHR directly or through the Commission's payroll processor maintains the Combined Federal Campaign and Other Allotment Authorizations records of the Commission.</p> <p>Employee authorizations for individual allotment to the Combined Federal Campaign are retained until after GAO audit or when three (3) years old, whichever is sooner when they are automatically destroyed locally.</p> <p>Other authorizations such as union dues and savings are retained until after GAO audit or when three (3) years old, whichever is sooner.</p>	GRS 2, Item no. 15	
73	<p>Thrift Savings Plan Election Form</p> <p>OHR directly or through the Commission's payroll processor maintains the Thrift Savings Plan Election Form file of the Commission. Form TSP-1 authorizes deduction of employee contribution to the Thrift Savings Plan.</p> <p>The election forms are retained until superseded or after separation of employee when they are automatically destroyed locally.</p>	GRS 2, Item no. 16	
74	<p>Direct Deposit Sign-up Form (SF 1199A)</p> <p>OHR directly or through the Commission's payroll processor maintains the Commission employee Director Deposit Sign-up Forms (SF 1199a).</p> <p>The deposit forms are retained until superseded or after employee separation when they are automatically destroyed locally.</p>	GRS 2, Item no. 17	
75	<p>Levy and Garnishment Files</p> <p>OHR directly or through the Commission's payroll processor maintains the Levy and Garnishment Files of the Commission. The files contains such records as the Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.</p> <p>OHR or the Commission's payroll processor retains the individual Levy and Garnishment Files automatically to destroy locally only after three (3) years after garnishment or levy is terminated.</p>	GRS 2, Item no. 18	
76	<p>Payroll System Reports</p> <p>OHR maintains the official Payroll System Reports of the Commission.</p> <p>Reports on errors, ticklers, system of operation reports are retained by OHR to destroy only after all related actions are completed or when no longer needed, not to exceed two (2) years.</p> <p>Reports and data used for Commission workload and or personnel management purposes are kept by OHR to destroy locally only when two (2) years old.</p> <p>Fiscal information reports on the Commission's payroll are kept by OHR to destroy locally only after GAO audit or when three (3) years old, whichever is sooner.</p>	GRS 2, Item no. 22	
77	<p>Payroll Change Files</p> <p>OHR directly or through the Commission's payroll processor maintains the official Payroll Change Files of the Commission. The files contains records used to direct a change or correction of an individual pay transaction whether created and maintained by the Commission or its payroll processor.</p> <p>The copies of the payroll changes that are subject to GAO audit are retained to destroy only after GAO audit or when three (3) years old, whichever is sooner. All other copies are automatically destroyed locally one (1) month after the end of related pay period.</p>	GRS 2, Item no. 23	

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78	<p>Retirement Files</p> <p>OHR directly or through the Commission's payroll processor maintains the Retirement Files of the Commission. The files contain reports, registers, or other control documents, and other records relating to retirement, such a SF 2807 or equivalent.</p> <p>OHR directly or through the Commission's payroll processor maintains the Retirement Files of the Commission. The files contain reports, registers, or other control documents, and other records relating to retirement, such a SF 2807 or equivalent.</p>	GRS 2, Item no. 28	