REQUEST FOR RECORDS DISPOSITION AUTHORITY	JOB NUMBER N1-565-08-11
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	Date received 4/24/08
1 FROM (Agency or establishment) Department of Defense	**NOTIFICATION TO AGENCY**
2 MAJOR SUBDIVISION Missile Defense 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3 MINOR SUBDIVISION	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Mr Petar Sredojevic	(719)721-8724	4/28/11	**WITHDRAWN**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 (See attached) page(s) are not needed now for the business for 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
3/18/08		Deputy Information Management, Chief Information Office

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Missile Defense Agency records series (see attached)		**WITHDRAWN** 4/28/11

Category: 400
Category Title: PERSONNEL
Category Description:

Category Number: 402
Category Title: Civilian Personnel Files
Description: These files result from the administration of the personnel program for the Agency civilian workforce which includes: personnel servicing tasks; administration of salary and wage programs; job analysis and evaluations; position audits; periodic wave surveys; recruitment, hiring and placement; and implementation of employment service.

File: 402-01
Title: Notification of Personnel Actions
Description Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in personnel offices

A Chronological file copies including fact sheets, maintained in personnel offices
Disposition: Temporary. Destroy when 2 years old
Authority: (GRS-1-14a)

B All other copies maintained in personnel offices
Disposition: Temporary. Destroy when 1 year old
Authority: (GRS-1-14b)

(**Note:** Incorporate official file copies into OPF See item 204-08)
Privacy Act:

File: 402-02
Title: Personnel Request/Approval for Change in Tour of Duty/Hours
Description: Files relating to the approved notifications with backup data of the circumstances warranting the change in tours of duty or hours of duty
Disposition: Temporary. Destroy 2 years after audit except when needed to support continuing authorization, in which case destroy on separation
Authority:
Privacy Act:

WITHDRAWN

File: 402-03
Title: Service Record Cards (Standard Form 7 or equivalent)
Description:

A Cards for employees separated or transferred on or before December 31, 1947
Disposition: Temporary. Transfer to National Personnel Records Center (NPRC) St Louis, Missouri Destroy 60 years after earliest personnel action
Authority:

B Cards for employees separated or transferred on or after January 1, 1948

Disposition: Temporary. Destroy 3 years after separation or transfer of employee
Authority: (GRS-1-2)

(**Note:** Effective December 31, 1994, the SF 7 card became obsolete)
Privacy Act:

File: 402-04
Title: Military Reserve Program Files
Description: Background information used to respond to request from the Military Services concerning individual availability for activation
Disposition: Temporary. Destroy when 5 years old or sooner if of no further reference value
Authority:
Privacy Act:

File: 402-05
Title: Employment Applications
Description: Applications, including of 612, resumes, and any other application that an agency may develop for 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 OPF
Disposition: Temporary. Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier
Authority:
Privacy Act:

File: 402-06
Title: Military Reserve and Transferred Questionnaires
Description: Filed by name of individual and MDA organization. Contains information on individual reserve status
Disposition: Temporary. Destroy upon separation of the individual from the Agency or the Reserve Program
Authority:
Privacy Act:

WITHDRAWN

File: 402-07
Title: Official Personnel Folders of Civilian Personnel
Description: Case files documenting civilian employment under rules and regulations of the Office of Personnel Management, maintained in accordance with the Federal Personnel Manual (Items a & b maintained on right side of OPF, item c on left)

A Civilian Employees Transferring to another Government Agency
Disposition: Temporary. Transfer individual folder to gaining Agency
Authority:

B Separated Civilian Employees, Maintained on the right side of the office personnel folder

Disposition: Temporary. Place individual folder in an inactive file upon separation Transfer folder to National Personnel Records Center, St Louis, Mo , 30 days after latest separation (see note 2) NPRC will destroy 65 years after separation from Federal services
Authority: (GRS-1-1b (2))

C Temporary Individual Employee Records All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, EXCLUDING performance-related records (See item 402-12 for disposition of temporary performance-related records)
Disposition: Temporary. Destroy upon separation or transfer of employee, or when 1 year old, whichever is sooner
Authority: (GRS-1-10)

(NOTES: (1) OPF's covering periods of employment terminated prior to January 1, 1921, are not covered by this item If an agency has such files, it should contact the NARA Records Appraisal and Disposition Division to request appraisal of the files If NARA rejects the records, the disposition for GRS 1, item 1b applies (2) Certain agencies have been exempted by OPM from retiring their OPF's to NPRC These agencies retain OPF's for the period specified in item 1b of this scheduled and effect destruction after the period has elapsed)
Privacy Act:

File: 402-08
Title: Personnel Procedures, Policies and Publications Files
Description: Correspondence with DOD, OPM, and Services on delegations of authority and procedures basic to formulation of MDA personnel management
Disposition: Permanent. Place non-current items in an inactive file Close and transfer inactive file to WNRC/FRC every 5 years Cut off at the end of the fiscal year Transfer to NARA when no longer needed for operations
Authority:
Privacy Act:

WITHDRAWN

File: 402-09
Title: Financial Disclosure Reports
Description:

A Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521)

(1) Records for individuals filing according to section 201b of the Act, and not subsequently confirmed by the U S Senate
Disposition: Temporary. Destroy 1 year after nominee ceases to be under consideration for appointment, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation
Authority: (GRS-2-24a (1))

(2) All other records

Disposition: Temporary. Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation
Authority: (GRS-2-24a (2))

B All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222
Disposition: Temporary. Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation
Authority: (GRS-2-24b)
Privacy Act:

File: 402-10
Title: Handicapped Individuals Appointment Case Files
Description: Case files containing position title and description, fully executed SF 171, medical examiner's report, a brief statement explaining accommodation of impairment, and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2
Disposition: Temporary. Destroy 5 years following the date of approval or disapproval of each case
Authority: (GRS-1-40)
Privacy Act:

WITHDRAWN

File: 402-11
Title: Agency Promotion Review Board Files
Description: These files contain supporting documentation from the Agency Key Components and Field elements for recommendations made by Agency Promotion Review Boards to the Director and Deputy Director Included are Key Component nominations, supporting narrative and statistical data, and promotion recommendation packages
Disposition: Temporary. Close every 3 years Cut off at the end of the fiscal year Transfer to WNRC/FRC 2 years after closing DESTROY when 7 years old or sooner if of no further reference value
Authority:
Privacy Act:

File: 402-12
Title: Employee Performance File System Records
Description:

A Non-SES appointees (as defined in 5 USC 4301 (2))

(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents
Disposition: Temporary. 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
Authority: (GRS-1-23a (1))

(2) Performance records superseded through an administrative, judicial, or quasi judicial procedure
Disposition: Temporary. Destroy when superseded
Authority: (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
Disposition: Temporary. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 402-12 (a) (3) (b) below
Authority: (GRS-1-23a (3) (a))

(b) All other performance plans and ratings
Disposition: Temporary. Destroy when 4 years old or when no longer needed, whichever is sooner
Authority: (GRS-1-23a (3) (b))

(3) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based
Disposition: Temporary. Destroy 4 years after date of appraisal
Authority: (GRS-1-23-a (4))

(4) Supporting documents
Disposition: Temporary. Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner
Authority: (GRS-1-23a (5))

WITHDRAWN

C SES appointees (as defined in 5 USC 3132a (2))

a Performance records superseded through an administrative, judicial, or quasi judicial procedure
Disposition: Temporary. Destroy when superseded
Authority: (GRS-1-23b (1))

b Performance-related records pertaining to a former SES appointee

1 Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating
Disposition: Temporary. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leave Federal service (see item 1b of this schedule) An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item GRS-23b (2) (b) Transfer to gaining element
Authority: (GRS-1-23b (2) (b))

(b) All other performance ratings and plans
Disposition: Temporary. Destroy when 5 years old, or when no longer needed, whichever is sooner
Authority: (GRS-23b (2) (b))

c All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees servicing on a Presidential appointment (5 CFR 214)
Disposition: Temporary. Destroy 5 years after date of appraisal
Authority: (GRS-1-23b (3))

d All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222
Disposition: Temporary. Destroy when 6 years old EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation
Authority: (GRS-1-23b (4))

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

File: 402-13
Title: Personnel Information folders
Description: Maintained in MDA Administrative areas where individual is assigned

A Employees Transferred within MDA
Disposition: Temporary. Transfer to gaining element
Authority:

B Employees Separated from MDA
Disposition: Temporary. Review annually and destroy suspended or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer
Authority: (GRS-1-18a)
Privacy Act:

File: 402-14
Title: Professional Qualifications Record (PQR)
Description: Files documenting the career panels' certification of personnel as professionals in the various career fields (See 402-32)
Disposition: Temporary. Close upon completion of an individual's certification Place in an inactive file, or return to the individual Destroy 2 years after date of last activity in file
Authority:
Privacy Act:

File: 402-15
Title: Interview and Evaluation Cards for Separated Employees

WITHDRAWN

Description:
Disposition: Temporary. Destroy when 2 years old
Authority:
Privacy Act:

File: 402-16
Title: Competitive Selection Files
Description: Records containing position advertisements applications and associated qualifications data

A Civilian positions
Disposition: Temporary. Destroy 1 year after advertisement closure date
Authority:

B Military positions
Disposition: Temporary. Destroy 10 years after advertisement closure date
Authority:
Privacy Act:

File: 402-17
Title: Personnel Research Files
Description: Staff studies and projects reflecting applied research in personnel areas, including personnel surveys, test research, occupational research, and concepts of career development
Disposition: Permanent. Close inactive file every 2 years Cut off at the end of the fiscal year Transfer to WNRC/FR 2 years after closing Transfer to NARA when no longer needed for operations
Authority:
Privacy Act:

WITHDRAWN

File: 402-18
Title: Incentive Awards Files
Description:

A Minutes and reports reflecting actions taken by the Incentive Awards Board and Committees
Disposition: Temporary. Close file annually Cut off at the end of the fiscal year Transfer to WNRC/FRC 1 year after closing Destroy when 3 years old
Authority: (GRS-1-13)

B Case files documenting actions taken in evaluating, approving or disapproving suggestions and other types of incentive awards recommendations
Disposition: Temporary. Close file annually Cut off at the end of the fiscal year Transfer to WNRC/FRC 1 year after closing Destroy when 3 years old
Authority: (GRS-1-13)

C Agency wide awards

Disposition: PERMANENT. Retain 4 years and transfer to WNRC/FRC Transfer to NANR when no longer needed for operations
Authority:

D Awards, decorations, and accommodation files, excluding copies filed in Official Personnel Folder
Disposition: Temporary. Destroy 2 years after approved or disapproved
Authority: (GRS-1-12a)
Privacy Act:

File: 402-19
Title: Position Classification Files
Description:

A Position Classification Standards Files

(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions with the agency
Disposition: Temporary. Destroy when superseded or obsolete
Authority: (GRS-1-7a (1))

(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
Disposition: Temporary. Destroy 5 years after position is abolished or description is superseded
Authority: (GRS-1-7a (2) (a))

(b) Review file
Disposition: Temporary. Destroy when 2 year old
Authority: (GRS-1-7a (2) (b))

B Position Descriptions

Records copy of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents
Disposition: Temporary. Destroy 2 years after position is abolished or description superseded
Authority: (GRS-1-7b)

C Survey Files

(3) Classification survey reports on various positions prepared by classification specialists, including periodic reports
Disposition: Temporary. Destroy when 3 years old or 2 years after regular inspection, whichever is sooner

WITHDRAWN

Authority: (GRS-1-7c (1))

(4) Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits and evaluations
Disposition: Temporary. Destroy when obsolete or superseded
Authority: (GRS-1-7c (2))

D Appeals Files

(1) Case files relating to classification appeals, excluding OPM classification certificate
Disposition: Temporary. Destroy 3 years after case is closed
Authority: (GRS-1-7d (1))

(2) Certificated of classification issued by OPM
Disposition: Temporary. Destroy after affected position is abolished or superseded
Authority: (GRS-1-7d (2))
Privacy Act:

File: 402-20
Title: Area Personnel Surveys
Description: (Now included in 402-17-"Personnel Research Files ")
Disposition:
Authority:
Privacy Act:

WITHDRAWN

File: 402-21
Title: Job/Position Audits and Studies
Description: These files consist of background correspondence accumulated during the annual review of all Agency jobs, individual desk audits, group audits, or supervisory job analyst reviews, used to develop an official job/position description
Disposition: Temporary. Place in inactive file upon incorporation into the job/position description Close and transfer inactive file to WNRC/FRC every 2 years Destroy when 3 years old or 2 years after regular inspection, whichever is sooner
Authority: (GRS-1-7c (1))
Privacy Act:

File: 402-22
Title: College and Field Recruitment Files. Recruiter's Interview Records
Description:
Disposition: Temporary. Destroy when 1 year old
Authority:
Privacy Act:

File: 402-23
Title: College Recruitment and Public Relations Reports

Description: Files accumulated during surveys on college participation in MDA's public relations programs and student recruitment This includes participating and non-participating schools
Disposition: Temporary. Destroy when 5 years old or sooner if of no further reference value
Authority:
Privacy Act:

File: 402-24
Title: Cooperative Recruitment Files
Description: Includes studies and individual papers on applications

A Evaluations
Disposition: Temporary. Maintain incurrent files until co-op graduated from school If hired see 402-24b, non-hired see 402-28
Authority:

B Individual Papers of Hired Applicants
Disposition: Temporary. Incorporate in individual's Official Personnel Folder
Authority:
Privacy Act:

WITHDRAWN

File: 402-25
Title: Applicant Interviews
Description: These are files not included in the applicant's case folder

A Interview Sheets of Hired Applicants
Disposition: Temporary. Incorporate in individual's Official Personnel Folder
Authority:

B Interview Sheets of Non-Hired Applicants
Disposition: Temporary. Destroy 120 days after date of last action
Authority:

File: 402-26
Title: Testing Support File
Description: This file consists of testing materials and answers sheets for applicants and employee Included are CQB, language and proficiency tests

A CQB test scores
Disposition: Temporary. Destroy when 4 years old
Authority:

B Other material
Disposition: Temporary. Destroy when no longer required for operations
Authority:

File: 402-27
Title: Hired Applicant Case Files
Description: Correspondence and supplementary related documents for appointed applicants
Disposition: Temporary. Incorporate in individual's Official Personnel Folder (See 402-07)
Authority:
Privacy Act:

File: 402-28
Title: Non-Hired Applicant Case Files
Description: Documents and materials for those applicants not selected for an Agency appointment because of their qualifications, and for those who decline or will not be available for appointment Included are recruiters' interview records, worksheets, applications for employment, test results, correspondence and supplementary related documents
Disposition: Temporary. Destroy 120 days after date of last action
Authority:
Privacy Act:

WITHDRAWN

File: 402-29
Title: Not Used

File: 402-30
Title: Non-Hired Applicant Case Files – Special Interest
Description: Correspondence and supplementary related documents on applicants resulting from congressional inquiries or other special referrals for individuals who were not hired
Disposition: Temporary. Destroy when 1 year old Those files in which there was significant Congressional interest may be held until 5 years old from date of last document
Authority:
Privacy Act:

File: 402-31
Title: Personnel Strength Report Files
Description: Documents reflecting Agency activity strength report on the official assignment of civilian and military personnel by organizations
Disposition: Permanent. Close annually Cut off at the end of the fiscal year Transfer to WNRC/FRC 1 year after closing Transfer to NARA when no longer needed for operations
Privacy Act:

File: 402-32
Title: Career Panel Executive Professional Qualification Records
Description: Case files held by the Career Panels on those individuals seeking certification as professionals in a particular career field (See 402-14)
Disposition: Temporary. Close upon completion of individual's certification Place in an inactive file, or return to individual Destroy 2 years after date of last activity
Authority:
Privacy Act:

File: 402-33
Title: Administrative Grievance, Disciplinary, and Adverse Action Files
Description:

A Administrative Grievance Files. Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.
Disposition: Temporary. Destroy 7 years after case is closed.
Authority:

B. Adverse Action Files and Performance-Based Action Files. Case files and records related to adverse actions and performance-base actions (removals, suspensions, reductions-in-grade, furloughs, and letters of reprimand) against employees. The file may include any or all of the following. the proposed adverse action with supporting documents, statements of witnesses, employee's reply, hearing notices, written notices, reports and decisions, reversal of action, appeal records, copies of letters of reprimand, firm choice letters, and leave letters.
Disposition: Temporary. Destroy 7 years after case is closed.
Authority:

C Counseling Files. This includes reports of interviews, counseling sessions, analyses, and related records.
Disposition: Temporary. Destroy 5 years after termination of counseling.
Authority:
Privacy Act:

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

File: 402-34
Title: Position Identification Strips
Description: Strips, such as the former SF 7D, containing summary data on each position occupied.
Disposition: Temporary. Destroy when superseded or obsolete
Authority: (GRS-1-11)
Privacy Act:

File: 402-35
Title: Congressional Correspondence Files
Description: Correspondence relating to inquiries concerning personnel matters
Disposition: Temporary. Destroy when 10 years old, or sooner if of no further reference value.

WITHDRAWN

Authority:
Privacy Act:

File: 402-36
Title: Worker's Compensation Records
Description: Records which reflect employees' claim for job-related injuries or illnesses submitted to the Dept. of Labor, Office of Worker's Compensation Programs (OWCP).
Disposition: Temporary. Place original copies in employee's Official Personnel Folder, when case is closed by OWCP (402-07 applies) Destroy duplicated case file 5 years after case is closed
Authority: (GRS-1-34)
Privacy Act:

File: 402-37
Title: Restoration of Forfeited Annual Leave
Description: Documentation pertaining to the official restoration of annual leave.
Disposition: Temporary. Destroy when 3 years old, or hold until restored leave has been used, or, in case of separation, payment is received as part of lump sum leave settlement
Authority: (GRS-2-9)
Privacy Act:

File: 402-38
Title: Individual Career Panel Files
Description: Records which contain minutes, appointment of individuals to panels, professionalization material, criteria and qualification standards and general correspondence relating to panel policy and procedures.
Disposition: Temporary. Close completed annually Cut off at the end of the fiscal year. Transfer to WNRC/FRC. Destroy when 10 years old or sooner if of no further reference value
Authority:

A. Records relating to establishment, policy, procedures, and related records
Disposition: Permanent. Transfer inactive files to WNRC/FRC Transfer to NARA when no longer need for operations
Authority:

B. Membership lists, roster, and administrative records
Disposition: Temporary. Destroy when 3 years old or sooner if no longer needed for reference.
Authority:
Privacy Act:

File: 402-39
Title: Field Administrative Files
Description: Records relating to selection assignments and tour of duty of MDA personnel assigned to MDA field operations
Disposition: Temporary. Destroy 1 year after individual returns to MDA HQ in permanent change of station status

WITHDRAWN

Authority:
Privacy Act:

File: 402-40
Title: Employee Record Cards
Description: Employee record cards used for informational purposes outside personnel offices. (such as SF 7B)
Disposition: Temporary. Destroy on separation for transfer of employee
Authority:
Privacy Act:

File: 402-41
Title: Domestic Relocation File
Description: This is a file reflecting service available for employees who PCS within CONUS.
Disposition: Temporary. Destroy when no longer needed for operations
Authority:
Privacy Act:

File: 402-42
Title: Scholarship File
Description: These are working files on all scholarship and fellowship personnel This includes all processing and accumulated information pertaining to training assignment
Disposition: Temporary. Destroy when 5 years old, or when superseded or obsolete, whichever is sooner
Authority:
Privacy Act:

WITHDRAWN

File: 402-43
Title: Board Cases/Pay Appeals Files
Description: These case files consist of information regarding transferred military personnel, reemployed annuitants, and pay adjustments and justifications
Disposition: Temporary. Destroy when no longer needed for operations
Authority:
Privacy Act:

File: 402-44
Title: Merit Pay File
Description: This file consists of committee minutes, reports, and proposals relating to the Merit Pay, including pertinent OPM information
Disposition: Temporary. Destroy when 15 years old.
Authority:
Privacy Act:

File: 402-45
Title: Notifications of Personnel Actions
Description: (See 402-01)

Disposition: Temporary.
Authority:
Privacy Act:

File: 402-46
Title: Personnel Operations Statistical Reports
Description: Statistical reports in the operating personnel office and subordinate units relating to personnel
Disposition: Temporary. Destroy when 2 years old.
Authority: (GRS-1-16)
Privacy Act:

File: 402-47
Title: Correspondence and Forms Files
Description: Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule. Correspondence and forms relating to pending personnel actions.
Disposition: Temporary. Destroy when 2 years old.
Authority: (GRS-1-17a)
Privacy Act:

File: 402-48
Title: Personal Injury Files
Description: 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.
Disposition: Temporary. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.
Authority: (GRS-1-931)
Privacy Act:

WITHDRAWN

File: 402-49
Title: Examining and Certification Records
Description: Delegated agreements and related records created under the authority of 5 U S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.

A. Delegated agreements
Disposition: Temporary. Destroy 3 years after termination of agreement
Authority: (GRS-1-33a)

B. Correspondence concerning applications, eligible certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials

Disposition: Temporary. Close annually Cut off at the end of the fiscal year Destroy 1 year after cut off.
Authority: (GRS-1-33b)

C. Test material stock control. Stock control records of examination test material including running inventory of test material in stock
Disposition: Temporary. Destroy when test is superseded or obsolete
Authority: (GRS-1-33c)

D Application Record Card (OPM Form 5000A, or equivalent.)
Disposition: Temporary. Close after examination. Destroy no later than 90 days after cut off.
Authority: (GRS-1-33d)

E Examination Announcement Case Files Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications and their development
Disposition: Temporary. Destroy 5 years after termination of related register
Authority: (GRS-1-33e)

F. Register of individuals eligible (OPM Form 5001-C or equivalent, document eligibility of an individual for Federal jobs).
Disposition: Temporary. Close records on individuals with terminated eligibility annually. Cut off at the end of the fiscal year Destroy 5 years after close When entire register is terminated, destroy 5 years after termination date (Registers established under case examining Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate, whichever is sooner.
Authority: (GRS-1-33f)

G. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).
Disposition: Temporary. Close annually Cut off at the end of the fiscal year Destroy 1 year after close.
Authority: (GRS-1-33g)

H. Canceled and ineligible application, supplemental forms, and attachments
Disposition: Temporary. Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications 90 days after the date of action or when register is terminated, whichever is sooner
Authority: (GRS-1-33h)

I Test Answer Sheets Written test answer sheets for both eligibles and ineligibles. Filed by date of processing
Disposition: Temporary. Destroy when 6 months old
Authority: (GRS-1-33i)

J. Lost or Exposed Test Material Cases Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required.

WITHDRAWN

Disposition: Temporary. Close files annually Cut off at the end of the fiscal year Destroy 5 years after close.
Authority: (GRS-1-33j)

K. Eligible applications

(1) On active register
Disposition: Temporary. Destroy upon termination of the register (except applications that may be brought forward to new register, if any)
Authority: (GRS-1-33k (1))

(2) On inactive register
Disposition: Temporary. Destroy 1-12 months after eligible(s) are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.
Authority: (GRS-1-33k (2))

L Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent.
Disposition: Temporary. Close annually. Cut off at the end of the fiscal year Destroy 1 year after close
Authority: (GRS-1-33l)

M. Certificate File. SF 39, SF 39A, or equivalent, and all papers upon which the certification was based. detailed rating schedule, record of selective and quality ranking factors used, list of eligible(s) screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action
Disposition: Temporary. Close annually. Cut off at the end of the fiscal year Destroy 5 years after close
Authority: (GRS-1-33m)

N. Certification request control index.
Disposition: Temporary. Close annually. Cut off at the end of the fiscal year. Destroy 1 year after close
Authority: (GRS-1-33n)

O. Interagency Placement Program (IPP) application and registration sheet
Disposition: Temporary. Destroy upon expiration of employee's DEP eligibility
Authority: (GRS-1-33o)

P. DEP control cards, if maintained
Disposition: Temporary. Close annually. Cut off at the end of the fiscal year. Destroy 2 years after close.

WITHDRAWN

Authority: (GRS-1-33p)

Q. Reports of audits of delegated examining operations.
Disposition: Temporary. Destroy 3 years after date of the report
Authority: (GRS-1-33q)
Privacy Act:

File: 402-50
Title: Denied Health Benefits Requests, Under Spouse Equity
Description: Denied eligibility files consisting of applications, court orders, denial letters, appeal letters and related papers

A Health benefits denied, not appealed.
Disposition: Temporary. Destroy 3 years after denial.
Authority: (GRS-1-35a)

B. Health benefits denied, appealed to OPM for reconsideration

(1) Appeal successful – benefits granted.
Disposition: Temporary. Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook
Authority: (GRS-35b (1))

(2) Appeal unsuccessful – benefits denied
Disposition: Temporary. Destroy 3 years after denial
Authority: (GRS-1-35b (2))
Privacy Act:

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

WITHDRAWN

File: 402-51
Title: Federal Workplace Drug Testing Program Files
Description: 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 Public Law 100-71, 503 (f)

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

A. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)
Disposition: Temporary. Destroy when 3 years or when superseded, obsolete, or no longer needed, whichever is later (See note (2))
Authority: (GRS-1-36a)

This includes 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.

B. Employee acknowledgement 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.
Disposition: Temporary. Destroy when employee separates from testing-designated position (See note (2))
Authority: (GRS-1-36b)

C. Selection/Scheduling records Records relating to the selection of specific employees/applicants for testing and the scheduling to tests. Included are lists of selectees, notification letters, and testing schedules.
Disposition: Temporary. Destroy when 3 years old. (See note (2))
Authority: (GRS-1-36c)

D Records relating to the collection and handling of specimens

(2) "Permanent" Record books Bound books containing identifying data on each specimen, recorded at each collection site I the order in which the specimens were collected
Disposition: Temporary. Destroy 3 years after date of last entry. (See note (2))
Authority: (GRS-1-36d (1))

(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.
Disposition: Temporary. Destroy when 3 years old (See note (2))
Authority: (GRS-1-36d (2))

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

(1) Positive results
Disposition: Temporary. Disposition not authorized.
Authority: (GRS-1-36e)

(2) Negative results.
Disposition: Temporary. Destroy when 3 years old (See note (2))

WITHDRAWN

Authority: (GRS-1-36e)
Privacy Act:

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 GRS 1, item 30b (402-33b), which authorizes destruction of records between 4 and 7 years after the case is closed (2) Any records covered by GRS items 36a-e (402-51 a-e) that are actions should be dispose of no earlier than the related litigation or adverse action case file(s).

File: 402-52
Title: Donated Leave Program Case Files
Description: 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, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.
Disposition: Temporary. Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.
Authority: (GRS-1-37)
Privacy Act:

File: 402-53
Title: Personnel Correspondence Files
Description: Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels
Disposition: Temporary. Destroy when 3 years old.
Authority: (GRS-1-3)
Privacy Act:

File: 402-54
Title: Offers of Employment Files
Description: Correspondence including letters and telegrams offering appointments to potential employees This includes accepted offers.
Disposition: Temporary. Destroy immediately.
Authority: (GRS-1-4)
Privacy Act:

WITHDRAWN

Category: 404
Category Title: MILITARY PERSONNEL FILES
Description: Theses files contain personnel records and service records maintained for military personnel during their period of assignment to duty at MDA in accordance with parent service requirements.

File: 404-01
Title: Not Used

File: 404-02
Title: Element Personnel Record Files
Description Informal convenience files on military personnel assigned to MDA, maintained at organizational level throughout the Agency.

A Personnel Transferred within the MDA.
Disposition: Temporary. Forward to gaining MDA element.
Authority:

B. Personnel Transferred outside the MDA.
Disposition: Temporary. Destroy upon transfer or separation.
Authority:
Privacy Act:

WITHDRAWN

File: 404-03
Title: Agency Personnel Records Files
Description: Files on each military person assigned to MDA, and maintained in the Agency Military Personnel Office as a central information file
Disposition: Temporary. Place individual's folder in an inactive file upon relief from active duty with MDA. Destroy after 1 year
Authority:
Privacy Act:

File: 404-04
Title: Military Awards, Decorations, and Commendation Files
Description Files of awards made while individual is on active duty with MDA and maintained in the Agency Awards Office as a central file
Disposition: Temporary. Close annually. Cut off at end of fiscal year. Transfer to WNRC/FRC 2 years after closing. Destroy 5 years after transfer
Authority:
Privacy Act:

Category Number: 406
Category Title: EQUAL EMPLOYMENT OPPORTUNITY FILES
Description: These records are created as a result of Agency compliance with Federal Government policy guaranteeing equal employment opportunity to all persons employed by the Agency without regard to race, color, religion, sex, or national origin, in accordance with Executive Order 11246, Office of Personnel Management Regulations and DOD Directives and instructions. Also include are records reflecting the Fair Housing Enforcement Program of the Agency in accordance with Public Law 90-284 and the Department of Defense as contained in DOD Instruction 1338.12.

File: 406 -01
Title: Equal Employment Opportunity External Directives and Instructions
Description Executive Orders, DOD Instructions and Directives, Office of Personnel Management Documents, and like material on policies, procedures, and direction of the Federal Government Fair Housing and Equal Employment Opportunity Program
Disposition: Temporary. Destroy when 3 years old, or when superseded or obsolete, whichever is applicable **Authority:** (GRS-1-25d)
Privacy Act:

File: 406 -02
Title: Equal Employment Opportunity Internal Directives and Instructions
Description Documents issued by Director and Chief, EEO, on policies, procedures, and guidelines in carrying out Agency EEO Fair Housing Program.
Disposition: Permanent. Place in an inactive file upon succession or obsolescence. Transfer to WNRC/FRC one year after inactivation Transfer to NARA when no longer need for operations
Authority:
Privacy Act:

WITHDRAWN

File: 406 -03
Title: Equal Employment Opportunity Reporting Files
Description· Documents accumulated as a result of reporting to higher authority on activities and conditions related to equal employment and fair housing Included are statistical and narrative reports, summaries, consolidations, and related papers.

A. Statistical EEO reports to Office of Personnel Management and/or DOD (monthly)
Disposition: Temporary. Destroy when 4 years old.
Authority:

B Semi-annual EEO report to DOD
Disposition: Temporary. Destroy when 4 years old
Authority:
Privacy Act:

File: 406 -04
Title: Equal Employment Opportunity Fair Housing Complaint Cases
Description· Documents reflecting complaints of personnel concerning equal employment opportunity and fair housing Included are complaints, transmittal letters, investigations, and summaries, finding-of-fact statements, final disposition of reports, acceptance statements, withdrawal notices, and similar papers.
Authority:

A. Cases resolved within the Agency
Disposition: Temporary. Destroy 4 years after resolution of case
Authority: (GRS-1-25a) (1))

B. Cases resolved by the Office of Personnel Management in a U.S. Court
Disposition: Temporary. Files are controlled by the Office of Personnel Management records schedule **Authority:** (GRS-1-25a) (2))
Privacy Act:

File: 406 -05
Title: Not Used

WITHDRAWN

File: 406 -06
Title: Employment Statistics Files
Description Employment statistics relating to race and sex, particularly for minorities and women
Disposition: Temporary. Destroy when 5 years old.
Authority: (GRS-1-25f)
Privacy Act:

WITHDRAWN

File: 406 -07
Title: Personnel Counseling Records
Description:

A. Counseling Files. Reports of interviews, analyses and related records
Disposition: Temporary. Destroy 3 years after termination of counseling
Authority: (GRS-1-26a)

B. Alcohol and Drug Abuse Program Records created in planning, coordinating and directing an alcohol and drug abuse program
Disposition: Temporary. Destroy when 3 years old
Authority: (GRS-1-26b)
Privacy Act:

File: 406 -08
Title: Equal Employment Opportunity Affirmative Action Plans (AAP)
Description:

A. Agency copy of consolidated AAP (s)
Disposition: Temporary. Destroy 5 years from date of plan.
Authority: (GRS-25-h-(1))

B. Agency feeder plan to Consolidated AAP (s)
Disposition: Temporary. Destroy when 5 years from date of feeder plan, or when administrative purposes have been served, whichever is sooner.
Authority: (GRS-1-25h (2))
Privacy Act:

WITHDRAWN

Category Number: 408
Category Title: MEDICAL FILES
Description: These files reflect the activities of the MDA Medical Center in providing general management and supervision of the medical service program.

File: 408-01
Title: Medical Case Files
Description. Basic medical examination certificates, dispensary notes, miscellaneous medical correspondence of MDA civilian and military employees

A. Employee Medical Folder (EMF). Long-term medical records as defined in 5 CFR part 293, subpart E.

(1) Transferred Employees.
Disposition: Temporary. See 5 CFR part 293 subpart E for instructions.
Authority: (GRS-1-21a (1))

(2) Separated Employees
Disposition: Temporary. Transfer to National Personnel Records Center (NPRC), St Louis, MO, 30 days after separation NPRC will destroy 75 years after birth date of employee, 60 years after date of earliest document in the folder, if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later
Authority: (GRS-1-21a (2))

(3) Medical Certificates (SAF 78 or Equivalent· Other than those documents listed in item (1) above, includes miscellaneous medical records, correspondence, dispensary records and papers
Disposition: Temporary. Place in an inactive file upon separation from MDA Transfer to WNRC/FRC in 45 days or sooner DESTROY 6 years after separation from MDA
Authority:

B. Temporary or short-term records as defined in the FPM
Disposition: Temporary. Destroy 1 year after separation or transfer of employee
Authority: (GRS-1-21b)

C. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.
Disposition: Temporary. Destroy 60 years after retirement to FRC
Authority: (GRS-1-21c)

D. Military Case Files
Disposition: Temporary. Transfer to parent service upon separation from MDA.
Authority:
Privacy Act:

(**NOTE:** Master files and data bases created in central data processing facilities to

WITHDRAWN

supplement or replace the records covered by GRS items 1-21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115)

File: 408-02
Title: Clinical Psychology Case Files
Description: Name folders containing documents accumulated as a result of applicant processing, includes psychological evaluations and other related documents pertaining to individuals

A MDA Employee Cases

(1) This file contains civilian and military psychological records for personnel assigned to MDA Included are psychological evaluations and other related documents pertaining to individuals.
Disposition: Temporary. Retain for 1 year then transfer to WNRC/FRC. Office of Primary Responsibility will combine record with EMF upon separation or transfer.
Authority:

(2) Transferred Employee Records
Disposition: Temporary.
Authority:

(3) Separated Employee Records
Disposition: Temporary. Transfer to NPRC, St. Louis, MO, 30 days after separation
Authority:

B Contractors Employee Cases

(1) Contractors who are Granted MDA Access with the Absence of Derogatory Information:

(a) Personnel who are considered for affiliation with MDA, but withdraw or are withdrawn before any polygraph and/or investigations are initiated
Disposition: Temporary. Destroy immediately after processing is terminated or case is closed.
Authority:

(b) All others, having received some investigative processing (polygraph or investigation).
Disposition: Temporary. Following date of last action, retain locally for 3 years then transfer to WNRC/FRC for the next 12 years Following that, return records to Office of Primary Responsibility for review and further determination and disposition.
Authority:

(2) Contractors who are Denied MDA Access with the Presence of Derogatory Information

WITHDRAWN

Disposition: Temporary. Retain locally 3 years then transfer to the WNRC/FRC for 25 years after which files should be returned to Office of Primary Responsibility for subsequent review and determination.
Authority:

C. Non-hired Applicant Psychological Evaluations
Description: Psychological evaluations of individuals applying for employment with MDA who are not hired and are not denied for cause.
Disposition: Temporary. Destroy 180 days after termination of initial processing
Authority:
Privacy Act:

(**Note:** Any personnel security files may be otherwise retained beyond routine retention periods at the recommendation of the Chair of Security for reasons of concurrence of Chief, Security.)

File: 408-03
Title: X-Ray Film Case Files
Description X-rays of MDA employees and applicants, with related correspondence Identified by accompanying X-ray logs.
Disposition: Temporary. Place in an inactive file upon separation from Agency; close inactive file annually. Transfer to WNRC/FRC after 1 year. Retain 30 years after separation of employee
Authority:
Privacy Act:

WITHDRAWN

File: 408-04
Title: Medical Case Files – Non-MDA Employees
Description: Includes dispensary notes and medical correspondence

A. Support Services Personnel. Includes files on personnel working in the Credit Union, drug store, etc.
Disposition: Temporary. Place in an inactive file upon separation from MDA Transfer to WNRC/FRC 45 days or sooner. Destroy 6 yeas after separation
Authority: (GRS-1-19)

B Cafeteria Caterer and GS personnel
Disposition: Temporary. Transfer to appropriate parent organization upon separation from MDA
Authority:

C. Resident-Official Liaison Personnel of other Federal Agencies and Contractor Personnel.
Disposition: Temporary. Review annually. Transfer to WNRC/FRC 1 year after last entry Destroy 6 years after separation.

Authority: (GRS-1-22)
Privacy Act:

File: 408-05
Title: Blood Donor Program File
Description This computer file consists of statistical information required to aid the blood donor coordinator
Disposition: Temporary. Destroy 2 years after date of summary or report
Authority: (GRS-1-22)
Privacy Act:

File: 408-06
Title: Blood Donor Type File
Description· This file contains the alpha, organizational and blood type listings of MDA donors
Disposition: Temporary. Destroy when superseded, revised, rescinded, obsolete, or when no longer need for operations
Authority:
Privacy Act:

File: 408-07
Title: Laboratory File
Description This file contains duplicate MDA employees medical laboratory reports
Disposition: Temporary. Laboratory reports are retained permanently in employee's medical record A duplicate copy is retained in the laboratory for 1 year and then is destroyed
Authority:
Privacy Act:

File: 408-08
Title: Pharmacy File
Description· This file consists of copies of prescriptions
Disposition: Temporary. Destroy after 5 years
Authority:
Privacy Act:

WITHDRAWN

File: 408-09
Title: Health Unit Control Files
Description Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units

A. If information is summarized on statistical report.
Disposition: Temporary. Destroy 3 months after last entry.
Authority: (GRS-1-20a)

B If information is not summarized.

Disposition: Temporary. Destroy 2 years after last entry.

Authority: (GRS-1-20)
Privacy Act:

File: 408-10
Title: Nursing Service File
Description. This file includes immunization records and audio/vision calibration statistics for MDA civilian and military employees

A. Calibration Records
Disposition: Temporary. Destroy after 30 years
Authority:

B Immunization Records
Disposition: Temporary. Destroy 5 years after separation or transfer of employee
Authority:
Privacy Act:

File: 408-11
Title: Occupational Injury and Illness Files
Description: Reports and logs (including 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 settlement.
Disposition: Temporary. Destroy when 5 years old
Authority: (GRS-1-34)
Privacy Act:

WITHDRAWN
WITHDRAWN