

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-NU-86-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/29/2024

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

The following items remain active:

12000/2/A-E

12171/1

12200/1

12210/1

12211/1

12213/1 (note that this is a GRS deviation that is no longer current)

12251/1

12252/1

12271/1/B

12272/1/B

12272/2/B

12273/1

12274/1

12290/1

12291/1

12293 - all items

12294/1

12295/1/A-C (note that these are GRS deviations that are no longer current)

12296/1/A-B (note that these are GRS deviations that are no longer current)

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12297/1

12298/1/A/1

12300/2 (note that this is a GRS deviation that is no longer current)

12300/3/A-B

12300/4

12300/5 (note that this is a GRS deviation that is no longer current)

12301/1 (note that this is a GRS deviation that is no longer current)

12302/1 (note that this is a GRS deviation that is no longer current)

12302/1 (note that this is a GRS deviation that is no longer current)

12304/1 (note that this is a GRS deviation that is no longer current)

12305/1

12306/1 (note that this is a GRS deviation that is no longer current)

12307/1 (note that this is a GRS deviation that is no longer current)

12308/1 (note that this is a GRS deviation that is no longer current)

12309/1

12310/1

12311/1/B

12312/1-2

12315/1

12330/1/A-B (note that 1/B is a GRS deviation that is no longer current)

12330/2/A-B (note that these are GRS deviations that is are longer current)

12330/3 (note that this is a GRS deviation that is no longer current)

12331/1 (note that this is a GRS deviation that is no longer current)

12332/1

12333/1

12335/1/A-B (note that these are GRS deviations that is are longer current)

12338/1/A-B (note that these are GRS deviations that is are longer current)

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12339/1

12340/1-2

12351/1 (note that this is a GRS deviation that is no longer current)

12361/1

12362/1

12400/1

12410/1-11

12410/12/B (note that this is a GRS deviation that is no longer current)

12410/13-15 (note that these are GRS deviations that is are longer current)

12412/1/A-B

12412/2 (note that these are GRS deviations that is are longer current)

12412/3-4

12430/1/A/1-2

12430/1/B (note that this is a GRS deviation that is no longer current)

12430/1/D

12430/3

12431/1

12432/1

12450/1-4 (note that these are GRS deviations that is are longer current)

12450/5

12451/1 (note that this is a GRS deviation that is no longer current)

12452/1

12470/1

12500/3

12511/1/A/1 (note that this is a GRS deviation that is no longer current)

12551/1/A/2/A (note that this is a GRS deviation that is no longer current)

12551/1/A/2/B

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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12551/1/B-E (note that these are GRS deviations that is are longer current)

12530/1

12532/1-5

12532/6/B

12532/8-9

12540/3-4

12550/1

12553/1

12570/1 (note that this is a GRS deviation that is no longer current)

12571/1 (note that this is a GRS deviation that is no longer current)

12591/1

12594/1

12595/1

12600/1-2

12620/1

12630/1/A-B (note that these are GRS deviations that is are longer current)

12700/1

12710/1-2 (note that these are GRS deviations that is are longer current)

12711/1

12711/2/A-B (note that these are GRS deviations that is are longer current)

12713/1/A-B (note that these are GRS deviations that is are longer current)

12715/1

12720 - all items

12731/1

12732/1/B

12732/2

12733/1

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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12734/1

12735/1/A-B (note that these are GRS deviations that is are longer current)

12736/1

12751/1-2

12752/1 (note that this is a GRS deviation that is no longer current)

12754/1 (note that this is a GRS deviation that is no longer current)

12771/1 (note that this is a GRS deviation that is no longer current)

12792/1 (note that this is a GRS deviation that is no longer current)

12792/2/A-B (note that these are GRS deviaions that are no longer current)

12792/5/A-B

12800/1

12810/1

12831/1

12832/1

12841/1

12841/3

12850/1

12870/1

12890/1

12900/1

12915/1

12920/1

12920/2 (note that this is a GRS deviation that is no longer current)

12930/1

12933/1 (note that this is a GRS deviation that is no longer current)

12938/1

12950/1

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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12971/1

12990/1

12990/1/A/1-2 (note that these are GRS deviations that are no longer current)

12990/1/B (note that this is a GRS deviation that is no longer current)

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

All other items were superseded by DAA-NU-2015-0012, or they were filing instructions, except:

N1-NU-86-3 / 12292/1 was superseded by DAA-NU-02015-0002-0011.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-N4-86-3	DATE RECEIVED 12/11/85 [2/14/89]
1. FROM (Agency or establishment) DEPARTMENT OF THE NAVY		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION NAVAL DATA AUTOMATION COMMAND		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION OFFICE OF CIVILIAN PERSONNEL MANAGEMENT			
4. NAME OF PERSON WITH WHOM TO CONFER MS MILLIE STEWART	5. TELEPHONE EXT. 433-4217		
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence: ☐ is attached, or ☒ is unnecessary

B. DATE 2/7/89	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> CAPT E. W. BALLER	D. TITLE HEAD, DIRECTIVES, POSTAL AND RECORDS MANAGEMENT DEPARTMENT	
7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) CHAPTER 12 CIVILIAN PERSONNEL RECORDS 12000-12999	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>The records described in this chapter relate to the administration of civilian personnel functions throughout the Department of the Navy. The instructions apply to all civilian personnel records maintained by departmental and field civilian personnel or industrial relations offices, area wage and classification offices, or other organizational units, and the Office of Personnel Management (OPM), and to civilian personnel records maintained by medical departments and dispensaries. Instructions for the disposal of civilian pay records maintained by accounting or fiscal officers are contained in Chapter 7.</p> <p>Some exceptions to disposal standards are necessary. Regardless of authorizations in this manual, records directly relating to matters listed below will not be destroyed until final clearance or settlement of the case:</p> <ul style="list-style-type: none"> - An outstanding exception by the General Accounting Office (GAO); - An outstanding claim for or against the United States; - A case under litigation; or - An incomplete investigation. 		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

PAGE
2 OF 2

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>This certifies that records in this schedule that have been approved for conversion to the filmed medium, will be microfilmed, stored, and inspected in accordance with the standards set forth in 36 CFR, Part 1230.</p>		

Four copies, including original to be submitted to the National Archives and Records Service.

STANDARD FORM 115-A (REV. 12-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

CHAPTER 12

CIVILIAN PERSONNEL RECORDS
SSIC 12000-12999

THE RECORDS DESCRIBED IN THIS CHAPTER RELATE TO THE ADMINISTRATION OF CIVILIAN PERSONNEL FUNCTIONS THROUGHOUT THE DEPARTMENT OF THE NAVY (DON). THIS SCHEDULE COVERS THE DISPOSITION OF ALL OFFICIAL PERSONNEL FOLDERS (OPFs) OF CIVILIAN EMPLOYEES AND ALL OTHER RECORDS RELATING TO CIVILIAN PERSONNEL. ANY RECORDS CREATED PRIOR TO JANUARY 1, 1921, MUST BE OFFERED TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) FOR POSSIBLE PERMANENT RETENTION BEFORE THESE DISPOSITION INSTRUCTIONS MAY BE APPLIED.

THE FORMAT USED FOR THIS SERIES FOLLOWS THAT OF THE FEDERAL PERSONNEL MANUAL (FPM) ISSUED BY THE OFFICE OF PERSONNEL MANAGEMENT (OPM), AND NOT NECESSARILY THAT OF THE REMAINDER OF THIS DIRECTIVE. THEREFORE, ADDITIONS AND DELETIONS ARE MADE FOLLOWING THE FPM.

SSIC 12000-12099GENERAL CIVILIAN PERSONNEL RECORDSSSIC 12000GENERAL CIVILIAN PERSONNEL RECORDS

1. PRIMARY PROGRAM RECORDS RELATING TO THE DEVELOPMENT, IMPLEMENTATION, AND OVERALL ADMINISTRATION OF NAVY-WIDE POLICIES, PROCEDURES, AND PROGRAMS PERTAINING TO CIVILIAN PERSONNEL ADMINISTRATION. These records are accumulated only in offices responsible for the establishment and/or administration of Navy-wide policies and programs, such as the Secretary of the Navy (SECNAV), the Assistant Secretary of the Navy (Manpower and Reserves Affairs) (ASSTSECNAV MRA), the Chief of Naval Operations (CNO) (OP-14), the Commandant of the Marine Corps (CMC), and the Office of Civilian Personnel Management (OCPM). Records relate to the establishment, approval, and implementation of Navy-wide policies and procedures pertaining to position classification, wage administration, employee relations, awards and other incentives, performance appraisal systems, equal employment opportunity (EEO) programs, and personnel record keeping.

2. GENERAL CORRESPONDENCE. Records are accumulated in connection with the routine, day-to-day administration and operation of Navy civilian personnel programs. These records accumulate primarily at operating civilian personnel offices (CPOs), but they may also be accumulated by higher echelon offices in connection with their routine, day-to-day operations. These records include:

Permanent. Transfer to Washington National Records Center (WNRC) when 3 years old. Offer to NARA when 20 years old.

Destroy according to SSICs for specific general correspondence files in this chapter. For general correspondence not covered elsewhere in this chapter, destroy when 3 years old.

a. Correspondence Relating to Specific Personnel Actions (Except for Files Relating to Precedental and/or Highly Significant Actions Accumulated by Higher Echelon Offices Responsible for Navy-wide Policies, which should be filed under SSIC 12000, paragraph 1).

b. Routine Requests for Information concerning Navy Civilian Personnel Policies that Do Not Involve the Establishment or Revision of Policy.

c. Comments on Directives, Studies, Reports, and Other Issuances Accumulated by Offices Not Responsible for their Preparation.

d. Issuances Prepared by Lower Echelon Offices that Merely Transmit or Adapt for Local Conditions Policies and Procedures Established by Higher Level Offices.

e. Copies Retained by Preparing Offices of Reports and Statistical Data Submitted to Higher Echelon Offices, with Related Feeder Materials and Background Papers.

SSIC 12100-12199

OFFICE OF PERSONNEL MANAGEMENT RECORDS

SSIC 12171

OFFICE OF PERSONNEL MANAGEMENT ISSUANCE SYSTEM RECORDS

1. CORRESPONDENCE DEALING WITH THE EXPLANATION AND ACQUISITION OF THE DIRECTIVES ISSUANCE SYSTEM WHICH INCLUDES FPM, SUPPLEMENTS, LETTERS, BULLETINS, POSITION CLASSIFICATIONS/JOB GRADING STANDARDS X-118/X-118-C AND OTHER OPM/NAVY ISSUANCES

Retain on board. Destroy when superseded or obsolete.

SSIC 12200-12299PERSONNEL PROVISIONS RECORDSSSIC 12200GENERAL PERSONNEL PROVISIONS RECORDS

1. RECORDS NOT COVERED BY OTHER SSICs IN THE 12200 SERIES

Destroy when no longer required for current operations.

SSIC 12210GENERAL BASIC CONCEPTS AND DEFINITIONS RECORDS

1. FILES DEALING WITH DEFINING, STANDARDIZING, AND UTILIZING PERSONNEL TERMINOLOGY

Retain on board. Destroy when obsolete or superseded.

SSIC 12211VETERAN PREFERENCE REECORDS

1. RECORDS PERTAINING TO ENTITLEMENT OF INDIVIDUAL PERSONNEL TO VETERANS PREFERENCE, ADMINISTRATION OF PREFERENCE, AND PREFERENCE PRESERVED, LOST OR CHANGED

File on right side of Official Personnel Folder (OPF).

SSIC 12212COMPETITIVE SERVICE AND COMPETITIVE STATUS RECORDS

1. RECORDS RELATING TO THE EXTENT OF COMPETITIVE SERVICE AND VARIATIONS.

File on right side of OPF.

2. RECORDS RELATING TO ELIGIBILITY, DETERMINATION, AND CANCELLATION OF COMPETITIVE STATUS. Records generated and are maintained on the right side of the OPF and include the following:

File on right side of OPF.

- Proof of appointment: Appointment Affidavits (Standard Form (SF) 61), Declaration of Appointee (SF 61B)
- Request for Non-Competitive Action (SF 59)
- OPM letter cancelling competitive status
- OPM letter verifying competitive status, veteran preference or service history
- OPM letter disapproving a personnel action
- OPM letters authorizing waiver or exceptions from provisions of OPM rules and regulations
- Reduction-in-force notice
- Request for Personnel Action (SF 52)
- Statement of acceptance into Presidential Management Intern Program documenting employee's leaving the competitive service to accept appointment in the excepted service.

SSIC 12213

EXCEPTED SERVICE RECORDS

1. GENERAL CORRESPONDENCE, REPORTS, AND OTHER RECORDS RELATING TO EMPLOYMENT PROGRAMS AND FUNCTIONS OF EXCEPTED POSITIONS

Destroy when 3 years old. (GRS 1.3)

SSIC 12230ORGANIZATIONS OF THE GOVERNMENT FOR PERSONNEL MANAGEMENT RECORDS

1. RECORDS RELATING TO PLANNING, ORGANIZING, DIRECTING, COORDINATING, AND CONTROLLING ALL PERSONNEL MANAGEMENT PROGRAMS CONDUCTED WITHIN THE DON. (Exclude primary program records filed under SSIC 12000, paragraph 1.)

Apply SSIC 12000, par. 2.

SSIC 12250PERSONNEL MANAGEMENT IN AGENCIES RECORDS

1. GENERAL POLICY ON CIVILIAN MANPOWER MANAGEMENT INCLUDING ESTABLISHING AND DISESTABLISHING CIVILIAN PERSONNEL OFFICES (CPOs), POLICY REGARDING INTERSERVICE SUPPORT, AND GUIDELINES FOR LOGISTICS SUPPORT OF CPOs

Apply SSIC 12000, par. **1**.

SSIC 12251INTRAMANAGEMENT COMMUNICATIONS AND CONSULTATIONS RECORDS

1. RECORDS RESULTING FROM EXCHANGES OF INFORMATION ON CIVILIAN PERSONNEL MANAGEMENT WITH MANAGERS, SUPERVISORS, AND MANAGER/SUPERVISOR ASSOCIATIONS. Records include written correspondence, memoranda, information updates, comments, and reports.

Retain on board. Destroy when 3 years old.

SSIC 12252PROFESSIONAL OR OTHER ASSOCIATIONS RECORDS

1. RECORDS RELATING TO DONs RELATIONSHIP WITH PROFESSIONAL ASSOCIATIONS CONCERNED WITH CIVILIAN PERSONNEL MANAGEMENT. Includes records relating to the allotment and payment of dues.

Destroy when 3 years old.

SSIC 12271DEVELOPING POLICIES, PROCEDURES, PROGRAMS, AND STANDARDS RECORDS

1. STANDARDS DEVELOPMENT RECORDS. Records relating to objectives and concepts of standards development such as classification, qualification, and physical standards and the use of personnel measurement methods.

a. Records Accumulated by Offices Responsible for Establishing Navy-wide Policies.

Permanent. Transfer to WNRC when 4 years old. Offer to NARA when 20 years old.

b. Records Accumulated by Other Offices.

Retain on board. Destroy when superseded, obsolete, or no longer needed.

SSIC 12272PERSONNEL POLICY FORMULATION AND PERSONNEL ISSUANCES RECORDS

1. OFFICIAL ORGANIZATION CHARTS, NARRATIVE HISTORIES, AND RELATED RECORDS WHICH DOCUMENT THE ORGANIZATION AND FUNCTIONS OF THE OFFICE

a. Record Copy.

Permanent. Transfer to Federal Records Center (FRC) when superseded or obsolete. Offer to NARA when 20 years old.

b. All Other Copies.

Retain on board. Destroy when superseded or obsolete.

2. DIRECTIVE CASE FILES

a. Record Copy of Directives that Establish Civilian Personnel Policies within Navy with Supporting Case File, if any, Documenting Important Aspects of the Development of the Issuance. These records are accumulated only in offices responsible for establishing Navy-wide policies and programs, such as SECNAV, ASSTSECNAV MRA, CNO (OP-14), CMC, and OCPM (and its predecessors).

Permanent. Transfer to FRC when superseded or obsolete. Offer to NARA when 20 years old.

b. Working Papers and Background Material. Any documents that are developed before a directive is formally signed and published and not included in the directive case file.

Retain on board. Destroy 6 months after final action or 3 years after completion if no final action is taken. (GRS 16.10)

SSIC 12273

PERSONNEL MANAGEMENT EVALUATIONS RECORDS

1. CORRESPONDENCE AND REPORTS RESULTING FROM A CIVILIAN PERSONNEL MANAGEMENT EVALUATION OR SPECIAL REVIEW CONDUCTED BY OPM, DON, A MAJOR CLAIMANT OR A LOCAL ACTIVITY

Retain on board. Destroy when no longer needed for administrative reference purposes.

SSIC 12274

CORRECTIVE ACTIONS RECORDS

1. CASE FILES. Records relating to actions taken to correct erroneous personnel actions.

Retain on board. Destroy 4 years after case is closed.

SSIC 12290**GENERAL PERSONNEL INFORMATION RECORDS**

1. CORRESPONDENCE AND INSTRUCTIONS DESIGNED TO GUIDE AGENCIES IN THE USE OF AUTOMATED DATA PROCESSING AND PERSONNEL ADMINISTRATION

Destroy when 3 years old.

SSIC 12291**PERSONNEL REPORTS RECORDS**

1. RECORDS PERTAINING TO RECURRING REPORTS. Records required by OPM to develop, improve, or maintain certain programs such as notification of personnel action, EEO action plans, etc.

Retain on board. Destroy when 5 years old or no longer needed, whichever is earlier.

SSIC 12292**PERSONNEL DATA STANDARDIZATION RECORDS**

1. RECORDS PERTAINING TO THE STANDARDIZATION OF DATA ELEMENTS IN ORDER THAT IDENTICAL DATA IN VARIOUS SYSTEMS ARE UNIFORMLY IDENTIFIED, DEFINED, CODED AND SEQUENCED

Retain on board. Destroy when 5 years old or superseded, whichever is earlier.

SSIC 12293**PERSONNEL RECORDS AND FILES RECORDS**

1. THE OPF OF A CIVILIAN EMPLOYEE OF THE FEDERAL GOVERNMENT DURING HIS OR HER TENURE OF SERVICE WITH THE GOVERNMENT (INCLUDING NONAPPROPRIATED FUND EMPLOYEE PERSONNEL RECORDS)

a. Long-term (So-called Permanent) Records which are Filed on the Right or Permanent Side of the Folder (Official Personnel Folder (SF 66)).

(1) Folders covering periods of employment terminated prior to 1 January 1921.

(2) Folders covering periods of employment terminated after 31 December 1920, excluding those selected by the NARA for permanent retention.

(a) Transferred employees.

(b) Separated employees.

SF 115

~~Submit Request to Transfer, Approval, and Receipt of Records to National Archives of the United States (SF 258).~~

See FPM for instructions relating to folders of employees transferred to another agency. (GRS 1.1a).

Transfer folder to National Personnel Records Center (NPRC), Civilian Personnel Records (CPR), St. Louis, MO, 30 days after separation. NPRC will destroy ~~65~~ years after ~~birth date of employee or 60 years after the date of the earliest document in the folder (if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later.~~ (GRS 1.1b)

b. Temporary Records Which are Filed on Left Side of the Folder. These records are maintained at naval activities per FPM 293 and FPM Supplement 293-31.

With the exception of performance records (see SSIC 12430, par. 2), destroy upon separation or transfer of employee from DON or when 1 year old, whichever is sooner (if employee separates for military service or transfers to another agency as a result of a transfer of function, leave required temporary material in the folder). GRS 1.10)

2. OPFs FOR NON-CITIZEN EMPLOYEES AT ACTIVITIES LOCATED OUTSIDE THE 50 UNITED STATES AND THE DISTRICT OF COLUMBIA. Long-term (so-called permanent) records which are filed on the right side of the folder (SF 66) and temporary records which are filed on the left side of the folder maintained at naval activities per FPM 293 and FPM Supplement 293-31.

a. Folders for Non-Citizen Employees Under the Canal Zone Merit System.

Transfer to NPRC (CPR), St. Louis, MO, 2 years after separation. Destroy 3 years after transfer.

b. Folders for Non-Citizen Employees outside 50 United States, the District of Columbia and the Canal Zone.

Transfer to NPRC (CPR), St. Louis, MO, 1 year after separation. Destroy 3 years after transfer.

Withdrawn

3. OPFs FOR NON-CITIZEN INDIGENOUS INDIRECT-HIRE EMPLOYEES AT ACTIVITIES LOCATED OUTSIDE THE 50 UNITED STATES AND THE DISTRICT OF COLUMBIA. Long-term (so-called permanent) records which are filed on the right or permanent side of the folder (SF 66) and temporary records which are filed on the left side of the folder and maintained at naval activities per FPM 293 and FPM Supplement 293-31.

Purge and destroy temporary material and transfer folder to NPRC (CPR), St. Louis, MO, 2 years after separation (service employee no longer utilized by the naval establishment). Destroy 3 years after transfer.

4. PERSONNEL SUMMARY CARD RECORDS

a. Employee Record (SF-7B). Maintained by operating officials at naval activities following FPM Supplement 293-31.

(1) Employee moves outside the naval establishment

Retain on board. Destroy upon transfer of separation. (GRS 1.6).

(2) Employee moves within the naval establishment

Transfer with the OPF.

b. Service Record (SF 7). Established and maintained at naval activities following FPM Supplement 293-31. Cards for employees separated or transferred on or after 1 January 1948.

Retain on board. Destroy 3 years after employee's separation or transfer to another agency. (GRS 1.2b)

5. LOCATOR FILE CARDS. Files at naval activities used to locate employees.

Retain on board. Destroy when employee is separated from activity.

SSIC 12294

AVAILABILITY OF OFFICIAL INFORMATION RECORDS

1. RECORDS WHICH SET FORTH POLICY, RESPONSIBILITIES, AND PROCEDURES FOR MAKING DON RECORDS AVAILABLE TO THE PUBLIC (Exclude record copies of formal issuances maintained by offices responsible for establishing Navy-wide policies).

Retain on board. Destroy when superseded or cancelled.

SSIC 12295PERSONNEL FORMS AND DOCUMENTS RECORDS

1. OPERATING PERSONNEL OFFICE RECORDS RELATING TO INDIVIDUAL EMPLOYEES NOT MAINTAINED IN OPFs AND NOT PROVIDED FOR ELSEWHERE IN THIS SCHEDULE

a. Correspondence and Forms Relative to Pending Personnel Action.

Retain on board. Destroy when action is completed. (GRS 1.17a)

b. Retention Registers.

(1) Registers from which reduction in force actions have been taken.

Destroy when 2 years old. (GRS 1.17b(1))

(2) Registers from which no reduction in force actions have been taken.

Retain on board. Destroy when superseded or obsolete. (GRS 1.17b(2))

c. All Other Correspondence and Forms.

Destroy when 6 months old. (GRS 1.17c)

SSIC 12296**PROCESSING PERSONNEL ACTION AND DATA RECORDS****1. NOTIFICATION OF PERSONNEL ACTION (SF 50), EXCLUSIVE OF THOSE IN OPFs**

a. Chronological File Copies Including Fact Sheets. Files maintained at naval activities following FPM Supplement 293-31.

Destroy when 2 years old. (GRS 1.14a)

b. All Other Copies (Exclusive of Fiscal Copies). Files maintained at naval activities following FPM Supplement 293-31.

Destroy when 1 year old. (GRS 1.14b)

SSIC 12297**PROTECTION OF PRIVACY AND PERSONNEL RECORDS**

1. RECORDS WHICH SET FORTH POLICY ON THE PROTECTION OF INDIVIDUAL PRIVACY IN REGARD TO PERSONNEL RECORDS MAINTAINED BY DON. (Exclude record copies of formal issuances maintained by offices responsible for establishing Navy-wide policies.)

Retain on board. Destroy when superseded or obsolete.

SSIC 12298**FEDERAL WORKFORCE INFORMATION SYSTEM RECORDS**

1. CORRESPONDENCE MANUALS, DATA ELEMENT DICTIONARIES, AND INSTRUCTIONS RELATING TO AUTOMATED FILES OF INDIVIDUAL RECORDS FOR MOST FEDERAL CIVILIAN EMPLOYEES MAINTAINED BY AGENCY CONTINUOUS INPUT WHICH PROVIDE CAPABILITY FOR OBTAINING STATUS OR DYNAMIC OUTPUTS IN A COMPREHENSIVE AND TIMELY MANNER

Retain on board. Destroy when superseded, obsolete, or no longer needed.

a. Current records

(1) Automated civilian personnel databases with a record for each indirect and direct hire DON employee paid from appropriated and industrial funds. Permanent history files and maintained on automatic data processing (ADP) media at the Navy Civilian Personnel Data System (NCPDS) Customer Facility and other Navy facilities.

~~Permanent~~ Destroy when
no longer needed.

(2) Paper copies of individual records (SF 50s and associated documents) are maintained in OPFs. Privacy Act information will be per relevant policies and instruction.

Apply SSIC 12293.

b. Source Documents for Input and Proposed Personnel Action Requests and Request and Authorization for Training. Input is Notification Personnel Action (SF 50) and completed Request, Authorization, Agreement, Certification of Training and Reimbursement (DD 1556).

SSIC 12300-12399

EMPLOYMENT RECORDS

SSIC 12300

GENERAL EMPLOYMENT RECORDS

1. OPM RECORDS

a. OPM Applications, Examination Papers, and Related Papers for Federal Employment in the Field. Cancelled or submitted by ineligible applicants, applicants whose eligibility has expired, or applicants on expired eligible registers.

Destroy per OPM instructions.

b. Original OPM Registers and Notices to Establish or Dispose of OPM Register. Established after open competitive examination for positions in all groups.

Destroy per OPM instructions.

2. CERTIFICATES OF ELIGIBLES FILES. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over an eligible with veterans preference and selecting an eligible lacking veterans preference.

Destroy when 2 years old. (GRS 1.5)

3. REQUEST FOR PERSONNEL ACTION (SF 52). SF52 and related papers pertaining to actions not consummated. (Exclude any copies required to be filed as permanent or temporary records in OPF.)

a. Requesting Office Copy.

Retain on board. Destroy upon completion of action.

b. All Other Copies.

Destroy when 1 year old.

4. REQUEST FOR CERTIFICATION. Request to OPM for certification of eligibility for OPM registers.

Destroy 2 years after date of certificate.

5. EMPLOYMENT AND FINANCIAL INTEREST. Statement forms and documents prescribed by SECNAVINST 5370.2H, Subj: Standards of Conduct and Government Ethics.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 1.25.b)

6. PROCESSING RECORDS OF INDIVIDUALS SELECTED FOR OVERSEAS EMPLOYMENT. Copies of travel orders, rotation, agreements, overseas recruitment requisition (comparable to SF 52), SF 50, statement signed by employee acknowledging receipt and understanding of statement of living and working conditions for the overseas area, and miscellaneous correspondence developed during processing.

Destroy 5 years after entry on duty (EOD) date at the overseas activity or upon expiration of an approved extension to the 5-year foreign service limitation, if applicable.

SSIC 12301**OVERSEAS EMPLOYMENT RECORDS**

1. FILES RELATING TO THE RECRUITMENT OF PERSONNEL FOR OVERSEAS POSITIONS AND THE PLACEMENT OF PERSONNEL ON THEIR RETURN FROM OVERSEAS POSITIONS. (See also SSIC 12300, paragraph 6.)

Destroy when 3 years old. (GRS 1.3)

SSIC 12302**EMPLOYMENT IN THE EXCEPTED SERVICE RECORDS**

1. CORRESPONDENCE, REPORTS, MEMORANDA, AND OTHER RECORDS RELATING TO EXCEPTED POSITIONS

Destroy when 3 years old. (GRS 1.3)

SSIC 12304**EMPLOYMENT OF EXPERTS AND CONSULTANTS RECORDS**

1. CORRESPONDENCE, REPORTS, MEMORANDA, AND OTHER RECORDS RELATING TO EXPERTS AND CONSULTANTS

Destroy when 3 years old. (GRS 1.3)

SSIC 12305EMPLOYMENT UNDER THE EXECUTIVE ASSIGNMENT SYSTEM RECORDS

1. STAFFING AND SELECTION RECORDS. Files include the copy of vacancy announcement and distribution list; qualification standard; rating, ranking, and evaluation procedures applied; candidates evaluations and ratings; Applications for Federal Employment (SF 171s) and supplemental questionnaires on all qualified candidates; supervisory appraisals, obtained membership of any panel/board appointed to review candidates qualifications, and promotion certificate (or comparable document); and documentation of notification of selection/nonselection.

Destroy 2 years after a competitive vacancy is filled or until OPM evaluation, whichever occurs first, unless discrimination complaint is filed; if discrimination complaint is filed, destroy 2 years after final disposition of complaint by DON.

SSIC 12306SELECTIVE PLACEMENT PROGRAM RECORDS

1. FILES RELATING TO THE PROGRAMS AND POLICY ON HIRING OF HANDICAPPED PERSONS, DISABLED VETERANS, AND REHABILITATED OFFENDERS

Destroy when 3 years old. (GRS 1.3)

SSIC 12307TRANSITIONAL AND VETERANS READJUSTMENT APPOINTMENTS RECORDS

1. FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL PROGRAMS FOR THE SELECTIVE PLACEMENT OF VETERANS PROGRAMS

Destroy when 3 years old. (GRS 1.3)

SSIC 12308**YOUTH AND STUDENT EMPLOYMENT PROGRAM RECORDS**

1. FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF YOUTH AND STUDENT EMPLOYMENT PROGRAMS. (Include records relating to college programs, special career programs, summer aide programs intergovernmental affairs, fellowships, and stay in school programs.)

Destroy when 3 years old. (GRS 1.3)

SSIC 12309**HOSTING ENROLLEES OF FEDERAL GRANT PROGRAMS RECORDS**

1. WORK INCENTIVES PROGRAM (WIN), COLLEGE WORK-STUDY PROGRAM, VOCATIONAL EDUCATION WORK-STUDY PROGRAM, OLDER AMERICAN COMMUNITY SERVICE EMPLOYMENT PROGRAM, AND PROGRAMS UNDER THE COMPREHENSIVE EMPLOYMENT AND TRAINING ACT (CETA). (Include working agreements and letters of confirmation, records associated with cost sharing arrangements, and records related to the administration of the programs.)

Retain on board. Destroy when 4 years old.

SSIC 12310**EMPLOYMENT OF RELATIVES RECORDS**

1. RECORDS RELATING TO THE LEGAL AND REGULATORY FRAMEWORK GOVERNING THE EMPLOYMENT OF RELATIVES IN THE FEDERAL SERVICE

Retain on board. Destroy when obsolete or superseded.

SSIC 12311POWER OF APPOINTMENT AND REMOVAL RECORDS

1. RECORDS DELEGATING AUTHORITY TO OFFICIALS TO DIRECT AND EFFECT APPOINTMENTS AND SUSPENSIONS OF CIVILIAN PERSONNEL

a. CNO and CMC.

Transfer to WNRC when obsolete or superseded. Destroy 20 years after obsolescence or supersession.

b. Records of Field Activities.

Retain on board. Destroy when superseded or obsolete.

SSIC 12312POSITION MANAGEMENT RECORDS

1. INTERNAL EVALUATION REPORTS

Destroy when 3 years old.

2. OTHER REPORTS

Destroy when 3 years old.

SSIC 12315CAREER AND CAREER-CONDITIONAL EMPLOYMENT RECORDS

1. RECORDS RELATED TO GENERAL ELIGIBILITY OF POST-AUDIT, DEFINITION OF NONCOMPETITIVE, CORRECTIVE ACTION, CAREER APPOINTMENT, PROBATIONARY PERIOD, AND RELATED RECORDS

Destroy upon separation or transfer of employee or when 2 years old, whichever is earlier.

SSIC 12316TEMPORARY EMPLOYMENT RECORDS

1. RECORDS MAINTAINED BY AGENCY IN THE OPF SO THAT INSPECTORS MAY RECONSTRUCT THE ACTION AND A REVIEW BY THEM WILL SHOW QUALIFICATIONS STANDARDS USED, NECESSARY TRAINING AND EXPERIENCE, AND FACTS WHICH ESTABLISH THE CORRECTNESS OF THE ACTION. Records generated and maintained on the left side of the OPF and include the following:

Apply SSIC 12293.

- Position descriptions
- Notice of rating
- Notice of proficiency-inquiries of availability
- Travel agreements
- Offer letters and acceptances
- Request for Personnel Action (SF 52)
- Employee's memorandum describing outside employment

SSIC 12330GENERAL RECRUITMENT, SELECTION, AND PLACEMENT RECORDS

1. INTERVIEW AND EVALUATION RECORDS. Notes, etc., made by the interviewer. Records made on employees who are not selected or who decline employment or on employees who are hired. (Exclude examination papers filed in OPF.)

- a. Merit Staffing.
- b. All Others.

Destroy when 2 years old.

Retain on board. Destroy 6 months after transfer or separation. (GRS 1.8)

2. OFFERS OF EMPLOYMENT. Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted Offers.

Destroy immediately. (GRS 1.4a)

b. Declined Offers.

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application. (GRS 1.4b(1))

(2) Temporary or excepted appointment.

File inside application and dispose of according to SSIC 12330, par. 3. (GRS 1.4(2)).

(3) All Others.

Destroy immediately. (GRS 1.4b(3))

3. APPLICATIONS FOR EMPLOYMENT. Applications and related papers. (Exclude records relating to appointments and requiring Senatorial confirmation and applications resulting in appointment filed in the OPF which are retained for future use or required by the applicant supply system.)

Retain on board. Destroy upon receipt of OPM report of inspection or when 2 years old, providing requirements of FPM Chapter 333 and Civilian Personnel Instruction (CPI) 335 are observed. (GRS 1.15)

SSIC 12331

ORGANIZATION FOR RECRUITMENT AND EXAMINING RECORDS

1. FILES RELATING TO GENERAL ADMINISTRATION AND OPERATION OF RECRUITMENT AND EXAMINATION PROGRAMS INCLUDING INFORMATION PERTAINING TO EXAMINATION, POSITIONS AVAILABLE, AND RELATED MATTERS

Destroy when 3 years old. (GRS 1.3)

SSIC 12332RECRUITMENT AND SELECTION THROUGH COMPETITIVE EXAMINATION RECORDS

1. RECORDS RELATING TO RECRUITMENT AND SELECTION THROUGH COMPETITIVE EXAMINATIONS. Records relate to such subjects as the geographic scope of competition, methods of recruitment, and selection of personnel for summer employment, student training, and short-term employment.

Destroy when 3 years old.

SSIC 12333RECRUITMENT AND SELECTION FOR TEMPORARY AND TERM APPOINTMENT OUTSIDE THE REGISTER

1. RECORDS THAT ARE MAINTAINED FOR ALL POSITIONS WHICH HAVE BEEN FILLED OR FOR WHICH APPLICATIONS ARE BEING ACCEPTED FOR TEMPORARY AND TERM APPOINTMENT OUTSIDE THE REGISTER. Include:

- Positions for which recruitment was made for temporary/term appointment
- Record of opening and closing dates of announcements
- Copies of SF-171 received for each announcement
- Record of referral and selection of applicants
- Record of recruitment efforts

Maintain for a period of 2 years or until an OPM inspection, whichever occurs first. Authority established by FPM 333.

SSIC 12334TEMPORARY ASSIGNMENT OF EMPLOYEES BETWEEN EXECUTIVE AGENCIES AND STATES, LOCAL GOVERNMENTS, AND INSTITUTIONS OF HIGHER EDUCATION RECORDS

1. RECORDS PERMITTING FEDERAL CIVILIAN EMPLOYEES OF EXECUTIVE AGENCIES TO SERVE WITH STATE OR LOCAL GOVERNMENT, ETC., WITHOUT LOSS OF EMPLOYEE RIGHTS OR BENEFITS

Retain on board. Destroy after term of temporary appointment or when 2 year old, whichever is later.

SSIC 12335PROMOTION AND INTERNAL PLACEMENT RECORDS

1. NOTIFICATION OF PERSONNEL ACTION (SF 50). Files documenting promotions and transfers (in and out).

a. Chronological File Copies Maintained in the Personnel Office.

Destroy when 2 years old. (GRS 1.14a)

b. All Other Copies Maintained in the Personnel Office.

Destroy when 1 year old. (GRS 1.14b)

SSIC 12337EXAMINING SYSTEM RECORDS

1. FORMS AND RECORDS SUCH AS EXAMINATION RESULTS, RATINGS, CERTIFICATIONS AND SF 171s

Retain on board. Destroy 4 years after separation or transfer of employee.

SSIC 12338GENERAL QUALIFICATION REQUIREMENTS RECORDS

1. QUALIFICATION STANDARDS FILES

a. Standards. OPM standards determining title, series, and grade base on duties, responsibilities, and qualifications requirements.

Retain on board. Destroy when superseded or obsolete. (GRS 1.7a(1))

b. Development. Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

(1) Case Files.

Retain on board. Destroy 5 years after position is abolished or description is superseded. (GRS 1.7a (2) (a))

(2) Review Files.

Destroy when 2 years old. (GRS 1.7a(2) (b))

SSIC 12339

MEDICAL QUALIFICATION REQUIREMENTS RECORDS

1. RECORDS COVERING PLANS, POLICIES, AND PROCEDURES FOR DETERMINING MEDICAL QUALIFICATION REQUIREMENTS IN CONNECTION WITH FEDERAL EMPLOYMENT

Retain on board. Destroy when obsolete or superseded.

SSIC 12340

PART-TIME EMPLOYMENT RECORDS

1. EMPLOYMENT RECORDS. Files related to employment of part-time work force.

Destroy 2 years after separation of transfer of employee.

2. CIVILIAN PERSONNEL PROMOTION CERTIFICATES, ROSTERS, AND RATING SHEETS REQUIRED BY OPM.

Retain on board. Destroy when 2 years old or upon completion of OPM inspection, whichever is later.

SSIC 12351REDUCTION IN FORCE RECORDS

1. REDUCTION IN FORCE. Retention registers, cards and related papers which reduction in force actions have been taken established, and maintained per Chapter 351, Section A, of the FPM.

Destroy when 2 years old. (GRS 1.17b(1))

SSIC 12352REEMPLOYMENT RIGHTS RECORDS

RECORDS GOVERNING THE RIGHTS TO REEMPLOYMENT GRANTED TO CIVILIAN EMPLOYEES WHEN THEY TAKE OTHER CIVILIAN EMPLOYMENT SUCH AS TRANSFER TO INTERNATIONAL ORGANIZATIONS OR TRANSFER BETWEEN AGENCIES DURING AN EMERGENCY

1. PERSONNEL CORRESPONDENCE AND SUBJECT FILES. Files consisting of correspondence, reports, memoranda, or other records relating to reemployment rights.

Retain on board. Destroy when 5 years old.

SSIC 12353RESTORATION TO DUTY RECORDS

1. RECORDS RELATING TO THE RESTORATION TO DUTY OF EMPLOYEES WHO SUSTAIN A COMPENSABLE JOB-RELATED INJURY OR DISABILITY

Retain on board. Destroy when 5 years old.

SSIC 12361CAREER INTERN PROGRAMS RECORDS

1. RECORDS RELATING TO CAREER INTERN DEVELOPMENT AND EVALUATION PROGRAMS FROM ENTRY LEVEL TO FULL PERFORMANCE LEVEL AT ACTIVITY

Retain on board. Destroy when no longer needed.

SSIC 12362PRESIDENTIAL MANAGEMENT INTERN PROGRAM RECORDS

1. RECORDS RELATING TO THE PRESIDENTIAL MANAGEMENT INTERN PROGRAM ESTABLISHED BY EXECUTIVE ORDER 12008 IN AUGUST 1977. Files relating to the general administration and operation of the Presidential Management Intern Program including special careers programs and executive development programs.

Destroy when 3 years old.

SSIC 12400-12499EMPLOYEE PERFORMANCE AND UTILIZATION AND CIVILIAN CAREER MANAGEMENT PROGRAMS RECORDSSSIC 12400GENERAL EMPLOYEE PERFORMANCE AND UTILIZATION RECORDS

1. GENERAL CORRESPONDENCE FILES. Files include reports and other related papers concerning civilian personnel training and development and the performance and utilization of personnel.

Retain on board. Destroy when 5 years old, superseded or obsolete, whichever is earlier.

SSIC 12410TRAINING RECORDS

1. ACTIVITY-WIDE TRAINING PLANS. Computer print-outs or other listings covering all learning experiences planned for employees on an annual basis at preparing activities.

Retain on board. Destroy 3 years after completion of the annual period of when no longer required for activity review and/or analysis, whichever is later.

2. TRADE TRAINING PLANS. Records relating to apprentice, shop trainee, helper-to-journeyman, and other on-the-job training programs, including authorizations to establish such programs at preparing activities and headquarters offices.

Retain on board. Destroy when no longer needed for reference.

3. RECORDS OF PROGRESS OF APPRENTICES AND SHOP TRAINEES. Records accumulated at preparing activities covering progress of apprentices in both on-the-job and classroom training and related information.

Destroy 1 year after apprentice or shop trainee completes or drops out of the program.

4. NOTICE AND WARNINGS OF UNSATISFACTORY PERFORMANCE. Written notices and warnings of marginal or unsatisfactory progress of apprentices and shop trainees at preparing activities.

Destroy when apprentice or shop trainee satisfactorily completes the apprentice or shop trainee year, or 1 year after the individual is dropped from training, whichever is earlier.

5. WORK EXPERIENCE SCHEDULES. Continuous appraisal which describes the performance of apprentices and shop trainees in each element of the trade at preparing activities.

Destroy 1 year after apprentice or shop trainee completes the training or is dropped from the program.

6. QUARTERLY PROGRESS RECORDS. Quarterly appraisals of the performance of apprentices or shop trainees at preparing activities.

Destroy 3 years after date of appraisal.

7. REQUESTS FOR TRAINING IN NON-GOVERNMENT FACILITIES. All forms and related papers concerning requests for training in non-government facilities at preparing activities.

Destroy 2 years after completion of all training or when all obligated service requirements have been satisfied, whichever is later.

8. OBLIGATED SERVICE AGREEMENTS. Documents which set forth the period of obligated service for employees who obtain training in non-government facilities. These documents are normally filed on the temporary (left) side of personnel folders but may be filed on the permanent (right) side of the personnel folder if the employee fails to fulfill service obligations at preparing activities.

Destroy 2 years after fulfillment of service agreement, or file on right side of personnel folder.

9. PERMANENT TRAINING RECORDS. Training documents include: records of satisfactory completion of training agreement approved by the OPM; scholarship or award authorizations; authorization to accept payments in connection with attendance at meetings; waivers of limitations on training in non-government facilities; and cumulative records of training.

a. Employee Development (ED) Subsystem of NCPDS. ED Subsystem maintains 20 completed instances of training. When instance 21 is records, an official Rector of Training (ORT) is produced containing previous 20 instances. Also, whenever an employee is terminated, transfers, retires, etc., an ORT is produced as the file is closed.

(1) Permanent history ED Subsystem files are maintained ADP media at NCPDS Customer Facility and other Navy facilities.

(2) ORTs generated by ED Subsystem.

b. Activities not using ED Subsystem, paper copies of training documents.

10. NOMINATING DOCUMENTS RELATING TO REQUESTS FOR LONG-TERM (120 OR MORE DAYS) TRAINING. Nominating and/or endorsement letters, transcripts, funding request forms, resumes, and related documents at preparing activities.

11. OTHER FORMS AND CORRESPONDENCE. Forms and correspondence relating to training, routine requests for training information, and documents of a transitory nature which are not authorized for filing on the permanent side of personnel folders at preparing activities.

Permanent *Destroy when no longer needed.*

File on right side of OPF.

File on right side of OPF.

Retain on board. Destroy 5 years after completion of training.

Destroy after completion or discontinuance of training.

12. TRAINING AIDS

a. One Copy of Each Manual, Syllabus, Textbook, and Other Training Aid Developed by the Navy.

~~Submit Request for Records
Disposition Authority (SF 115)
(GRS 1.30a(1))~~ Destroy 20 years after
superseding.

b. Training Aids from Other Agencies or Private Institutions.

Retain on board. Destroy when
obsolete or superseded. (GRS
1.30a(2))

13. GENERAL FILE OF NAVY-SPONSORED TRAINING

a. Correspondence, Memoranda, Agreements, Authorizations, Reports, Requirement Reviews, Plans, and Objectives Relating to the Establishment and Operation of Training, Courses, and Conferences.

Retain on board. Destroy when
5 years old, or 5 years after
completion of a specific
training program. (GRS
1.30b(1)).

b. Background and Work Papers.

Destroy when 3 years old. (GRS
1.30b(2))

14. EMPLOYEE TRAINING FILES. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

Retain on board. Destroy when
5 years old, superseded, or
obsolete, whichever is earlier.
(GRS 1.30c)

15. COURSE ANNOUNCEMENT FILES. Reference files of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government organizations.

Retain on board. Destroy when
superseded or obsolete. (GRS
1.30d)

SSIC 12412EXECUTIVE MANAGEMENT/SUPERVISORY TRAINING AND DEVELOPMENT
RECORDS

1. SECRETARY OF THE NAVY (SECNAV) CAREER FELLOWSHIPS.
Documents that contain nominations for SECNAV Career Fellowships which contain employment experience, education background, identifying information, comments on significant professional/civic activities/organizations, data on selected educational institutions, training objectives, training through non-government facilities, summary request for support of long-term training, nominee's individual training and development plan, undergraduate college transcript, other transcripts, and other pertinent items in support of the nomination and correspondence containing endorsements and nominees and selection or non-selection by appropriate Assistant SECNAV used to select SECNAV Career Fellows at initiating activity and receiving activity.

a. If Approved.

Destroy 2 years after notification of approval of nominee.

b. If Disapproved.

Destroy 1 year after notification of disapproval of nominee.

2. GENERAL CORRESPONDENCE AND SUBJECT FILES RELATING TO EXECUTIVE DEVELOPMENT PROGRAMS

Destroy when 3 years old. (GRS 1.3)

3. GENERAL CORRESPONDENCE AND SUBJECT FILES RELATING TO MANAGEMENT TRAINING AND DEVELOPMENT PROGRAMS

Destroy when 3 years old.

4. GENERAL CORRESPONDENCE SUBJECT FILES RELATING TO SUPERVISORY TRAINING AND DEVELOPMENT PROGRAMS

Destroy when 3 years old.

SSIC 12430PERFORMANCE MANAGEMENT RECORDS

1. OFFICIAL PERFORMANCE RATINGS

a. Ratings of Records and Performance Plans on which they are based, Summary Ratings, and Close Out Ratings with Supporting Documents of Justification Processed following 5 Code of Federal Regulations (CFR) 293 and 430, and CPI 430 Activity Instructions. Upon approval, the DON Performance Appraisal Form indicating such ratings and plans will be placed in the official personnel folder, or a separate folder will be established for the purpose of retention of performance records. This Employee Performance Folder (EPF) will be retained in the same office (personnel) that maintains the OPF or centrally as agreed by CPO and activity head.

(1) Performance appraisal form and performance plan.

Destroy 3 years after date of rating.

(2) Supporting documents.

Destroy 1 year after date of rating.

b. Recommending Demotion or Removal when Such Action is not Effected.

Place in EPF or OPF, as appropriate. Destroy after the employee has completed 1 year of acceptable performance from date of written advance notice of proposed demotion or removal. (GRS 1.23a(1))

c. Senior Executive Service (SES) Member's Performance Records.

Apply SSIC 12920, par. 2.

d. Automated Files Which Contain Same or Similar Information as that Contained on the DON Performance Appraisal Form.

Retain on Board. Destroy when 3 years old. (Retention beyond 3 years permissible so long as data not used in researching a decision affecting an employee where the manual copy of the appraisal has been or should have been destroyed.)

2. PERFORMANCE RATINGS RECORDS OF SEPARATING EMPLOYEES

a. Performance Appraisal Records. Records maintained under this system at time employee transfers or resigns.

Place in OPF. Transfer performance ratings of record, close-out and summary ratings, along with the performance plan on which the most recent rating was based to new CPO or NPRC.

b. Close-Out or Summary Ratings Prepared by Supervisor when Supervisor or Employee Leaves the Position After Minimum Appraisal Period.

Upon employee's reassignment, records are forwarded to gaining CPO or to NPRC by losing CPO.

3. PERFORAMCNE RATING DOCUMENTATION NEEDED IN CONNECTION WITH PROBABLE CAUSES FOR LITIGATION (ONGOING ADMINISTRATIVE, QUASIJUDICIAL, OR JUDICIAL PROCEEDINGS)

Retain on board. Destroy when no longer needed to properly adjudicate the pending case(s).

SSIC 12431

WITHOLDING OF WITHIN-GRADE INCREASES RECORDS

1. FILES CONSISTING OF AN EMPLOYEE'S PERFORMANCE RATING OF RECORD WITH WORK EXAMPLES WHICH ESTABLISH LESS THAN FULLY SUCCESSFUL PERFORMANCE; NOTICE OF WITHOLDING OF WITHIN-GRADE INCREASE (WGI); EMPLOYEES REQUEST FOR RECONSIDERATION OF DENIED WGI; AND DECISION CONCERNING SUCH A RECONSIDERATION REQUEST

Retain on board. Destroy 3 years after WGI is granted or after separation, *whichever is earlier.*

SSIC 12432UNACCEPTABLE PERFORMANCE ACTION RECORDS

1. CASE FILES CONSISTING OF AN EMPLOYEE'S PERFORMANCE RATING OF RECORD WITH WORK EXAMPLES WHICH ESTABLISH UNACCEPTABLE PERFORMANCE AND SERVE AS THE BASIS FOR REASSIGNMENT, DEMOTION, OR REMOVAL. The file includes a copy of the notice of unacceptable performance and opportunity period to improve; notes, work examples, and performance ratings documenting performance deficiencies; a copy of the proposed adverse action with supporting papers; the employee's reply; notice of decision; and appeal and grievance records, including decisions.

Retain on board. Destroy 4 years after case is closed.

SSIC 12450GENERAL EMPLOYEE RECOGNITION AND INCENTIVES RECORDS

1. GENERAL AWARDS RECORDS

a. Case Files. Files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Retain on board. Destroy 2 years after approval or disapproval. (GRS 1.12a(1))

b. Correspondence or Memoranda. Files pertaining to awards from other government agencies or private organizations.

Retain on board. Destroy when 2 years old. (GRS 1.12a(2))

2. LENGTH OF SERVICE AND SICK LEAVE AWARDS FILES. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.

Retain on board. Destroy when 1 year old. (GRS 1.12b)

3. LETTERS OF COMMENDATION AND APPRECIATION. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. (Exclude copies filed in the OPF.)

Destroy when 2 years old. (GRS 1.12c)

4. LIST OR INDEXES TO AGENCY AWARD NOMINATIONS. List of nominees and winners and indexes of nominations.

Retain on board. Destroy when superseded or obsolete. (GRS 1.12d)

5. DEPARTMENTAL LEVEL AWARDS FILES. Records relating to awards made at the departmental level or higher (Presidential, Secretarial, etc.).

Disposition not approved pending NARA's evaluation of departmental level awards on a Department of Defense-wide basis.

SSIC 12451

INCENTIVE AWARDS RECORDS

1. INCENTIVE AWARDS PROGRAM REPORTS. Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old. (GRS 1.13)

2. ALL OTHER RECORDS

Apply SSIC 12450.

SSIC 12452

SUGGESTION SYSTEM RECORDS

1. GENERAL CORRESPONDENCE FILES. Files relating to the Navy beneficial suggestion program, involving program standards, organization, procedures, and awards.

Retain on board. Destroy when 2 years old.

2. BENEFICIAL SUGGESTION CASE FILES

Apply SSIC 12450, par. 1a.

SSIC 12470**PERSONNEL RESEARCH PROGRAMS AND DEMONSTRATION PROJECTS RECORDS**

1. RECORDS COVERING PROJECT PLANS, APPROVAL LETTERS AND BUDGET DOCUMENTS AUTHORIZING PROJECT EVALUATIONS, REPORTS, ETC.

Destroy when superseded or no longer required.

SSIC 12500-12599**POSITION CLASSIFICATION, PAY, AND ALLOWANCES RECORDS****SSIC 12500****GENERAL POSITION CLASSIFICATION, PAY AND ALLOWANCES RECORDS**

1. WAGE AND CLASSIFICATION CONTROL CARD RECORDS. Progress or control records reflecting action taken on requests for wage rates and on reports for classification action.

Destroy at end of calendar year following year in which action was taken.

2. RECEIPTS FOR CHECKS

a. Divisional Check Receipts for Blocks of Checks for Operating Units.

Destroy when 1 month old.

b. Receipts for Other Checks and Savings Bonds.

Destroy when 3 months old.

c. Records or Receipts for Checks Mailed to Employees.

3. VISIBLE INDEXES OF ALL EMPLOYEES, GIVING NAMES, DIVISIONS, AND CHECK DISTRIBUTION CODE NUMBERS, OR OTHER SIMILAR INFORMATION

Retain on board. Destroy when individual index record is superseded or obsolete.

SSIC 12511CLASSIFICATION UNDER THE GENERAL SCHEDULE RECORDS

1. POSITION CLASSIFICATION FILES

a. Position Classification Standards Files.

(1) Standards. OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

Destroy when superseded or obsolete. (GRS 1.7a(1))

(2) Development. OPM drafts of classification standards or memoranda, correspondence, and other records relating to the development of standards of classification of positions peculiar to the agency and OPM approval or disapproval.

(a) CNO (OP14) and OCPM.

Destroy 5 years after position is abolished or description is superseded. (GRS 1.7a(2)(a))

(b) Participating activities.

Retain on board. Destroy when new standard is received.

b. Position Description. Files describing established positions including information on title, series, grade, duties, and responsibilities.

(1) Record Copy.

Retain on board. Destroy 5 years after position is abolished or description is superseded. (GRS 1.7b(1))

(2) All Other Copies.

Retain on board. Destroy when position is abolished or description is superseded. (GRS 1.7b(2))

c. Survey Files. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment Report and Annual Supergrade Position Report maintained at office of origin.

Destroy when 3 years old or 2 years after regular inspection, whichever is earlier. (GRS 1.7c(1))

d. Inspection, Audit, and Survey Files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Retain on board. Destroy when obsolete or superseded. (GRS 1.7c(2))

e. Appeals Files. Case files relating to classification appeals.

Destroy 3 years after case is closed. (GRS 1.7d)

SSIC 12530

GENERAL PAY RATES AND SYSTEMS RECORDS

1. RECORDS COVERING THE BASIC POLICIES AND PRINCIPLES OF GENERAL PAY RATES AND SYSTEMS, ANNUAL REPORTS OF PAY COMPARABILITY, SPECIAL RATES FOR RECRUITMENT AND RETENTION, AND SPECIAL PAY RATES

Destroy when 2 years old.

SSIC 12531

PAY UNDER THE GENERAL SCHEDULE RECORDS

1. RECORDS GOVERNING POLICIES AND PROCEDURES FOR DETERMINING RATE OF BASIC PAY, PAY ADJUSTMENTS FOR SUPERVISORS, WITHIN-GRADE INCREASE, AND SALARY RETENTION

Apply SSIC 12532.

SSIC 12532FEDERAL WAGE SYSTEM RECORDS

1. JOB GRADING ACTIONS AND APPEALS. Correspondence from activities; job descriptions, audit, and evaluation reports; organization charts; and other supporting documentation at CNO (OP-14), OCPM regional officers, and preparing activities.

Retain on board. Destroy when occupation is superseded or abolished.

2. JOB GRADING STANDARDS. OPM draft of job grading standards and pertinent correspondence.

a. OCPM Regional Offices.

Retain on board. Destroy 5 years after standard is published.

b. Participation Activities.

Retain on board. Destroy after standard is received.

3. DEPARTMENT OF THE NAVY SUPPLEMENTARY JOB GRADING GUIDANCE (NAVSO-P3090s). Guidance regarding specialized rating approved for use by activities and related correspondence at CNO (OP-14), OCPM regional offices, and other activities.

Retain on board. Destroy when superseded by a published revision.

4. INTERDEPARTMENTAL LITHOGRAPHIC WAGE BOARD (ILWB) GRADING STANDARDS. Guidance regarding lithographic and printing jobs in the Washington, DC, area and pertinent correspondence at CNO (OP-14) and OCPM.

Retain on board. Destroy when standards are abolished or superseded.

5. WAGE AREA SURVEYS. Wage change survey computation forms, specifications, recommendations, and related correspondence at CNO (OP-14) and OCPM.

Retain on board. Destroy after completion of 1 subsequent full scale wage survey.

6. AREA SCHEDULE OF WAGES. Wages schedules for Navy employees in trades and labor occupations. (Lengthy retention period necessary in order to provide OPM's Bureau of Retirement wage information on wage board employees who retired on disability and have other income.)

a. CNO (OP-14).

Retain on board. Destroy 20 years after superseded.

b. Activities and OCPM Headquarters and Regional Offices.

Retain on board. Destroy 5 years after superseded.

7. CIVILIAN MARINE WAGE SCHEDULES AND INSTRUCTIONS. Wages schedules, hours of work, and other instructions for civilian marine employees employed on Military Sealift Command (MSC) ships and related correspondence at CNO (OP-14); Commander, MSC (COMSC); and other MSC activities.

Retain on board. Destroy 20 years after superseded.

8. ENVIRONMENTAL DIFFERENTIAL PAY (EDP). Instructions, Comptroller General (COMPTGEN) and OPM decisions, and related correspondence at CNO (OP-14) and other activities.

Retain on board. Destroy when pertinent EDP category is abolished or superseded with revised instructions.

9. NOTIFICATION OF AFFIRMATIVE DETERMINATION OF ACCEPTABLE LEVEL OF COMPETENCE FOR GENERAL SCHEDULE WITHIN-GRADE INCREASE. Whatever form is used by individual activities (at all activities) and used to notify employees of their acceptable level of competence and to notify CPOs of such a determination.

Retain on board. Destroy when within grade increase has been effected and employee has been notified.

SSIC 12534

PAY UNDER OTHER SYSTEMS RECORDS

1. RECORDS COVERING DETERMINATION OF PAY FOR TRAINEES IN GOVERNMENT HOSPITALS AND SCIENTIFIC AND PROFESSIONAL POSITIONS REQUIRING SPECIALLY QUALIFIED PERSONNEL

Apply SSIC 12532.

SSIC 12536GRADE AND PAY RETENTION RECORDS

1. RECORDS COVERING PROCEDURES FOR REDUCTION IN GRADE CRITERIA FOR GRANTING SAVE GRADE AND PAY. Files describe various methods and protections of affected civilian employees.

Apply SSIC 12532.

SSIC 12540PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM (PMRS)

1. PERFORMANCE RATINGS OF RECORD FOR INDIVIDUALS

Apply SSIC 12430.

2. PAY AND AWARD PERSONNEL ACTION FORMS (SF-50s)

Apply FPM instructions, retain on board.

3. GENERAL CORRESPONDENCE AND SUBJECT FILES RELATING TO PMRS

Destroy after 3 years.

4. CORRESPONDENCE AND CASE MATERIALS ARE NEEDED IN PROBABLE CAUSES FOR LITIGATION (ONGOING ADMINISTRATIVE, QUASI-JUDICIAL PROCEDURES)

Retain on board until no longer needed in adjudicating pending cases.

SSIC 12550GENERAL PAY ADMINISTRATION RECORDS

1. INFORMATION COPIES OF PAYROLLS. Records covering items such as premium pay, lump sum payment for annual leave allotments, and assignment of pay, severance pay, back pay, and pay for irregular or intermittent duty involving unusual physical hardship or hazard.

Retain on board. Destroy when 4 years old.

SSIC 12551**FAIR LABOR STANDARDS ACT RECORDS**

1. RECORDS PERTAINING TO MANAGEMENT AND PROCESSING OF EMPLOYEE ISSUES RELATED TO THE IMPLEMENTATION OF AN ACT

Retain on board. Destroy when 6 years old.

SSIC 12553**DEDUCTIONS FROM CIVILIAN PAY FOR INCREASES IN UNIFORMED SERVICES RETIRED OR RETAINER PAY**

1. FILES PERTAINING TO DEDUCTIONS FROM CIVILIAN FEDERAL EMPLOYEE PAY TO OFFSET ANY COST OF LIVING ALLOWANCE (COLA) INCREASES SUCH EMPLOYEES RECEIVED IN MILITARY RETIRED OR RETAINER PAY DURING FISCAL YEARS 1983, 84, AND 85. OPM has since revoked these regulations per section 2203 of the Deficit Reduction Act of 1984 which repealed section 301(d) of the Omnibus Budget Reconciliation Act of 1982. The statutory amendment was effective 18 July 1984.

Retain until superseded, obsolete or no longer needed.

SSIC 12570**GENERAL TRAVEL AND TRANSPORTATION RECORDS**

1. RECORDS AND FORMS (INCLUDING TRAVEL ORDERS, REQUESTS FOR REIMBURSEMENT, TRANSPORTATION REQUESTS, AND ASSOCIATED DOCUMENTS) RELATED TO OFFICIAL GOVERNMENT TRAVEL

Destroy when 3 years old. (GRS 9.4)

SSIC 12571TRAVEL AND TRANSPORTATION FOR PRE-EMPLOYMENT INTERVIEWS AND RECRUITMENT RECORDS

1. TRAVEL RECORDS. Files such as travel requests, transportation requests, expenses, and per diem associated with pre-employment recruitment and interviews.

Destroy when 3 years old. (GRS 9.4a)

SSIC 12591ALLOWANCES AND DIFFERENTIALS PAYABLE IN NON-FOREIGN AREAS RECORDS

1. PAY RECORDS GOVERNING THE ESTABLISHMENT AND MAINTENANCE OF ALLOWANCES AND DIFFERENTIALS, AGENCIES, AND EMPLOYEES AFFECTED

Retain on board. Destroy when 4 years old.

SSIC 12592OVERSEAS ALLOWANCES AND POST DIFFERENTIALS RECORDS

1. GENERAL CORRESPONDENCE. Files dealing with payment of allowance differentials and living quarters while in foreign areas.

Retain on board. Destroy when 4 years old.

SSIC 12593SUBSISTENCE, QUARTERS, AND LAUNDRY RECORDS

1. GENERAL CORRESPONDENCE. Files related to civilian employees stationed outside the United States entitled to subsistence rights and commissary, mess, and laundry privileges.

Retain on board. Destroy when 4 years old.

SSIC 12594**ALLOWANCES FOR UNIFORMS RECORDS**

1. GENERAL CORRESPONDENCE. Files dealing with allowances for uniforms worn by civilian employees working for the DON and allowances authorized.

Destroy when 2 years old.

SSIC 12595**PHYSICIANS COMPARABILITY ALLOWANCE RECORDS**

1. RECORDS PERTAINING TO PHYSICIANS COMPARABILITY ALLOWANCE AND ELECTION FORMS

Retain on board. Destroy when superseded, obsolete, or no longer needed.

SSIC 12600-12699**ATTENDANCE AND LEAVE RECORDS****SSIC 12600****GENERAL ATTENDANCE AND LEAVE RECORDS**

1. GENERAL ATTENDANCE AND LEAVE RECORDS

Retain on board. Destroy when 4 years old.

SSIC 12610**HOURS OF DUTY RECORDS**

1. TIME AND ATTENDANCE. Documents used to report employee's time and attendance and maintained in payroll offices.

Destroy when 3 years old. (GRS 2.3a)

2. OVERTIME AUTHORIZATION REQUESTS. Documents used at all activities used to officially order the approval of overtime.

Retain on board. Destroy when 4 years old.

SSIC 12620

ALTERNATE WORK SCHEDULE RECORDS

1. DOCUMENTS SHOWING ALTERNATIVE WORK SCHEDULES SUCH AS FLEXTIME AND COMPRESSED SCHEDULES

Destroy when 2 years old.

SSIC 12630

ABSENCE AND LEAVE RECORDS

RECORDS COVERING SUCH LEAVE AS COURT, FUNERAL, EXCUSED ABSENCE, LEAVE WITHOUT PAY, AND MATERNITY LEAVE. ALSO COVERED IN THIS SERIES IS SHORE LEAVE FOR PERSONS ON VESSELS, HOME LEAVE FOR PERSONS WORKING OUTSIDE THE UNITED STATES, AND MILITARY LEAVE FOR RESERVISTS.

1. ABSENCE AND LEAVE. All applications for leave and supporting papers, including reports of absence without authority and tardiness reports, such as Application for Leave (SF 71) and Record of Leave Data (SF 1150), used by employees to request leave, by supervisors to approve leave, and are maintained with employees' leave records.

a. SF 71.

(1) If the timecard/time sheet has been initialed by the employee.

Destroy at the end of the pay period. (GRS 2.8a)

(2) If the timecard/time sheet has not been initialed by the employee.

Destroy after Government Accounting Office (GAO) audit or when 3 years old, whichever is earlier. (GRS 2.8b)

b. SF 1150.

(1) Original.

File on right side of OPF.
(GRS 2.10a)

(2) Copies.

Destroy when 3 years old. (GRS
2.10b)

SSIC 12700-12799

GENERAL PERSONNEL RELATIONS AND SERVICES RECORDS

SSIC 12700

GENERAL EMPLOYEE RELATIONS AND SERVICES RECORDS

1. GENERAL CORRESPONDENCE FILES RELATING TO EMPLOYEE RELATIONS
AND SERVICES

Destroy when 2 years old.

SSIC 12710

GENERAL PERSONNEL RELATIONS RECORDS

1. COUNSELOR'S CASE RECORDS PROVIDING BRIEF INTERVIEWS WITH
EMPLOYEES AND PERTINENT PERSONAL DATA. Counselor's notes,
reports, correspondence, and related information concerning
employee counseled. These are filed alphabetically by name of
individual employee at OCPM, commands, bureaus, offices, and
regional offices.

Retain on board. Destroy 3
years after close of case.
(GRS 1.27a)

2. COUNSELOR'S CASE RECORDS, OTHER RECORDS OF EMPLOYEE
ASSISTANCE UNDER THE ALCOHOLISM, DRUG ABUSE, AND RELATED
PROGRAMS. Counselor's notes, records, reports, correspondence,
and related information concerning employee counseled. These
are filed alphabetically by name of individual employee at CNO
(OP-14), commands, bureaus, offices, and regional offices.

Retain on board. Destroy 3
years after close of case (GRS
1.27a)

SSIC 12711LABOR RELATIONS RECORDS

1. LABOR RELATIONS GENERAL FILES. Correspondence, memoranda, reports, and other records relating to the relationship between management and labor organizations (unions).

Retain on board. Destroy when 2 years old.

2. LABOR RELATIONS BARGAINING UNIT RECORDS. Correspondence, memoranda, reports, unit certifications, negotiated agreements, and case files (such as Unfair Labor Practice charges, negotiability disputes, unit clarification or decertification petitions) relating to the relationship between management and unions representing employees in bargaining units.

a. Activity Where Units are Recognized.

Retain on board. Destroy when superseded or obsolete. (GRS 1.29a(2))

b. Other Offices.

Destroy when 5 years old. (GRS 1.29a(1))

SSIC 12713EQUAL EMPLOYMENT OPPORTUNITY RECORDS

1. DISCRIMINATION COMPLAINT RECORDS

a. Records Created in Receipt and Processing of Individual and Class Complaints of Discrimination by Employees or Applicants as Described by 29 CFR Part 1613.

(1) Activities where complaint is filed (preparing activities.

Retain on board. Destroy 4 years after final resolution of case. (GRS 1.26a)

(2) OCPM, CNO (OP-14), and Employee Appeals and Review Board (EARB).

Retain on board. Destroy 3 years after final administrative disposition.

b. Background Documents Pertaining to the Case but not Included in Case Files and Complaint Counseling, Status, and Disposition Reports and Summaries Maintained at Preparing Activities, OCPM, CNO (OP-14), and EARB. Includes follow-up transmittal correspondence from external organizations, e.g., Equal Employment Opportunity Commission (EEOC), Merit Systems Protection Board (MSPB), and Congressional inquired.

Retain on board. Destroy 2 years after final administrative disposition. GRS 1.26c)

SSIC 12715

VOLUNTARY SEPARATIONS AND REDUCTIONS IN GRADE OR PAY RECORDS

1. RECORDS CONSISTING OF VOLUNTARY ACTIONS BEING INITIATED BY THE EMPLOYEE THAT ARE NOT SUBJECT TO PROCEDURES COVERED BY SSIC 12752

Destroy when 2 years old.

SSIC 12720

AFFIRMATIVE EMPLOYMENT PROGRAM RECORDS

IT IS THE RESPONSIBILITY OF THE DON OR PROCESSING ACTIVITY TO MAINTAIN THE COMPLETE CASE FILE TO INCLUDE ALL RELATED RECORDS (I.E., MERIT PROMOTION FILE) ON ALL DISCRIMINATION COMPLAINTS WHILE THE COMPLAINTS ARE BEING PROCESSED.

1. MINORITY AND WOMEN CENSUS REPORTS. Census data on minorities and women as of 31 March and 30 September.

a. OCPM.

Retain on board. Destroy 5 years after superseded.

b. Major Commands and Activities.

Retain on board. Destroy 3 years after superseded.

2. PLANNED RESOURCES FOR EEO ADMINISTRATORS. Annual planned and allocated resources.

a. OCPM.

Retain on board. Destroy 5 years after superseded.

b. Preparing Major Activities and Preparing Activities.

Retain on board. Destroy 3 year after superseded.

3. CERTIFICATION OF QUALIFICATION OF EEO PROGRAM ADMINISTRATOR OFFICIALS. Annual certification of EEO officials.

a. OCPM.

Retain on board. Destroy 3 years after superseded.

b. Preparing Major Activities and Preparing Activities.

Retain on board. Destroy 1 year after superseded.

4. SEMI-ANNUAL NARRATIVE REPORT OF AFFIRMATION ACTION PLAN (AAP) AND SIGNIFICANT ACCOMPLISHMENTS. Status of AAP and other significant EEO achievements at OCPM, preparing major commands, and preparing activities.

Retain on board. Destroy 1 year after superseded.

5. AAPs. Annual planned action items.

a. OCPM and Preparing Major Commands. (Agency copy of consolidated AAP.)

Retain on board. Destroy 5 years from date of plan. (GRS 1.26h(1))

b. Preparing Activities. (Agency feeder plan to consolidate AAP(s).)

Retain on board. Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is earlier. (GRS 1.26h(2))

6. NUMERICAL GOALS ESTABLISHED. Established goals for succeeding fiscal year.

a. OCPM.

Retain on board. Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Retain on board. Destroy 3 years after superseded.

7. NUMERICAL GOALS ACHIEVED. Report of numerical goals program at OCPM, preparing major commands, and preparing activities.

Retain on board. Destroy 3 years after superseded.

8. UPWARD MOBILITY PROGRAM REPORT. Positions identified and filled during preceding fiscal year by series, trainee level, and target level.

a. OCPM.

Retain on board. Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Retain on board. Destroy 3 years after superseded.

9. HANDICAPPED PROGRAM REPORTS

a. OCPM.

Retain on board. Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Retain on board. Destroy 3 years after superseded.

SSIC 12731SUITABILITY RECORDS

1. RECORDS RELATING TO THE SUITABILITY OF INDIVIDUAL PERSONNEL. Records relating to the character, reputation, and fitness of individuals for government employment of personnel under consideration for positions with DON.

Destroy 4 years after separation or transfer of employee

SSIC 12732PERSONNEL SECURITY PROGRAM RECORDS

1. PERSONNEL SECURITY CASE FILES. Adjudications and written reviews; OPM and Defense Investigative Service (DIS) reports of investigation produced under the authority of Executive Order 10450, as amended, or any other security of loyalty program.

a. OCPM.

Transfer to WNRC when no longer required for administrative purposes. Destroy 15 years after date of last action.

b. Other activities. Investigate material furnished by OPM and DIS.

Retain on board. Destroy when purpose is served.

2. CERTIFICATE OF PERSONNEL INVESTIGATION, CLEARANCE, AND ACCESS

Retain on board. Destroy 2 years after transfer or separation of employee.

SSIC 12733POLITICAL ACTIVITY OF FEDERAL EMPLOYEES RECORDS

1. POLICY AND PROCEDURES GOVERNING PERMISSIBLE AND PROHIBITED ACTIVITIES, POLITICAL CONTRIBUTIONS, AND EXCEPTIONS OF CERTAIN ELECTIONS

Retain on board. Destroy when superseded or obsolete.

SSIC 12734HOLDING STATE OR LOCAL OFFICE RECORDS

1. REPORTS, CORRESPONDENCE AND RELATED MATERIAL RELATING TO REQUIRED TO BE FILED BY ANY CIVILIAN EMPLOYEE HOLDING ANY STATE OR LOCAL PUBLIC OFFICE OR APPOINTMENT. Any information concerning such office or appointment filed by another person or entity.

Destroy 2 years after employee leaves public office or appointment.

SSIC 12735EMPLOYEE RESPONSIBILITIES AND CONDUCT RECORDS

1. RECORDS COVERING STATEMENTS OF EMPLOYMENT AND FINANCIAL INTEREST AND CONFLICTS OF INTEREST SUCH AS MISUSE OF INFORMATION AND ACCEPTANCE OF GIFTS. (Use of government property, bribery and graft, disloyalty, and striking.)

a. Standard of Conduct Files. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Retain on board. Destroy when obsolete or superseded. (GRS 1.28)

b. Conflict of Interest Case Files. Statement of employment and related records.

Retain on board. Destroy when 6 years old; except that document needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 1.25.b)

SSIC 12736INVESTIGATIONS RECORDS

1. ANY REPORT OF INVESTIGATIONS, WHETHER FORMAL OR INFORMAL, NOT COVERED BY ANOTHER REPORTING REQUIREMENT, CONCERNING CIVILIAN PERSONNEL

Retain on board. Destroy when purpose is served.

SSIC 12751DISCIPLINE RECORDS

1. EMPLOYEE DISCIPLINARY ACTIONS. Documents, reports of pre-action investigation, and related correspondence on employee disciplinary actions. Filed by name of individual employees other than those disciplinary records that must be filed on the right (permanent) side of employee's OPF.

Destroy when 3 years old.

2. SURVEYS AND STUDIES. Documents and reports relating to general disciplinary matters at offices, commands, bureaus, and activities.

Destroy when 5 years old.

SSIC 12752ADVERSE ACTIONS BY AGENCIES RECORDS

1. ADVERSE ACTIONS FILES. Case files and related records created in processing an adverse action (disciplinary or non-disciplinary removal, suspension, demotion, leave without pay, or reduction-in-force) against an employee. The file includes copies of the notice of proposed adverse action with supporting papers; statements of witnesses; employee's reply; notice of decision; and appeals records such as appeal forms or letters, hearing notices, reports, and decisions. (Letters of reprimand are excluded.)

Retain on board. Destroy 4 years after the case is closed. (GRS 1.31b)

SSIC 12754SUITABILITY DISQUALIFICATION ACTIONS

1. OPM ADVERSE ACTION FILES

Destroy 4 years after case is closed. (GRS 1.31b)

SSIC 12771GRIEVANCE SYSTEM RECORDS

1. EMPLOYEE GRIEVANCES. The official records of the grievance file including statement of grievance, records or copies of records, reports of interviews, the record of the hearing if a hearing is held, fact finder's report of findings and recommendation if fact finding is conducted, the deciding official's decision, and other related correspondence.

Retain on board. Destroy 3 years after case is closed. (GRS 1.31a)

SSIC 12772APPEALS TO THE MERIT SYSTEMS PROTECTION (MSPB) RECORDS

1. RECORDS, JUSTIFICATIONS, COMPLAINT FORMS, AND BACKGROUND INFORMATION ASSOCIATED WITH APPEALS SENT TO MSPB. Correspondence received from MSPB and decisions.

Retain on board destroy 4 years after final decision is issued.

SSIC 12790SERVICES TO EMPLOYEES RECORDS

RECORDS COVERING INFORMATION SERVICES, SPECIAL SERVICES, FINANCIAL SERVICES, DECEDENT AFFAIRS, AND CIVILIAN NON-APPROPRIATED FUNDS (NAF). (SEE ALSO SSIC 5380)

1. EMPLOYEES OF CIVILIAN NAFs. Personnel, pay, health and on-the-job injury records at the employing NAF.

Retain on board. Destroy 6 months after separation.

SSIC 12792

FEDERAL EMPLOYEES OCCUPATIONAL HEALTH AND COUNSELING PROGRAM RECORDS

1. INDIVIDUAL HEALTH RECORD FILES. Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Destroy 6 years after last entry. (GRS 1, Item 19)

2. HEALTH UNIT CONTROL FILES. Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. Information Summarized on Statistical Reports.

Retain on board. Destroy 3 months after last entry. (GRS 1, Item 20a)

b. Information not Summarized on Statistical Reports.

Retain on board. Destroy 2 years after last entry (GRS 1, Item 20b)

3. INDIVIDUAL EMPLOYEE HEALTH CASE FILE. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit. (Exclude pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in OPF upon separation of employee (Ref: FPM Supplement 293-31).) *already in FRC's created prior to establishment of EMF system.*
~~These records not required for filing in the OPF, if not retained by the agency, may be transferred to the local FRC. (Under no circumstances should these files be sent to the NPRC (CPR).)~~

~~Disposition not approved.~~

Apply GRS 1, Item 21c.

4. EMPLOYEE MEDICAL FOLDERS (EMF). Employee Medical Folders of civilian employees (including non-U.S. citizens of the Navy or Marine Corps, including a copy of Certificate of Medical Examination (SF 78)) (original is filed in employee's Official Personnel Folder), and certain X-rays as specified in paragraph 4a, below.

a. X-rays of Civilian Employees.

b. Industrial Health Report Data Sheets.

5. CIVILIAN EMPLOYEE ASSISTANCE PROGRAM RECORDS

a. Correspondence, Records, Reports, and Surveys Relating to General Program Administration.

b. Case Files, Counseling and Referral Records, and Other Material Relating to Individual Employees.

SSIC 12800-12899

INSURANCE AND ANNUITIES RECORDS

*Apply GRS 1, Items 219(1) 219(2)
or 21b, whichever is applicable.*

~~Disposition not approved. Upon transfer to another Federal Agency, EMP must be transferred to the gaining agency. Upon separation from Federal service, forward to NPRC.~~

Retain on board. Destroy when 5 years old, EXCEPT that x-rays of positive pathological findings that are not static in nature, and one representative of those that are static in nature, will be filed in and retained with the Employee Medical Folder (EMF).

Destroy when 2 years old.

Destroy when 2 years old.

Retain on board. Destroy 2 years after separation of employee.

SSIC 12800GENERAL INSURANCE AND ANNUITIES RECORDS

1. CARRIER COPIES OF HEALTH BENEFITS REGISTRATION FORM ON NON-ENROLLED EMPLOYEES

Destroy upon receipt.

2. COPIES OF HEALTH BENEFITS REGISTRATION FORM FOR ELIGIBLE EMPLOYEES USED TO DETERMINE EMPLOYEE ELIGIBILITY FOR HEALTH BENEFITS UPON RETIREMENT

File on right side of OPF.

SSIC 12810INJURY COMPENSATION RECORDS

1. PERSONAL INJURY FILES. Compensation forms, reports, and related medical and investigative correspondence (other than copies in OPF and copies submitted to the Department of Labor) relating to on-the-job injuries.

Cut off annually. Destroy when 2 years old.

SSIC 12831CIVIL SERVICE RETIREMENT SYSTEMS RECORDS (CSRS)

1. GENERAL CORRESPONDENCE AND SUBJECT FILES. FILES RELATE TO GENERAL ADMINISTRATION AND OPERATION OF THE CSRS

Destroy when 3 years old.

2. RECORDS AND FORMS PERTAINING TO AN EMPLOYEE'S ELIGIBILITY TO RETIRE AND PARTICIPATION IN THE THRIFT SAVINGS PLAN

File on permanent side of OPF.

SSIC 12832SOCIAL SECURITY RETIREMENT, SURVIVORS INSURANCE, DISABILITY INSURANCE, AND MEDICARE RECORDS

1. GENERAL CORRESPONDENCE FILES

Destroy when 3 years old.

SSIC 12841FEDERAL EMPLOYEES' RETIREMENT SYSTEM RECORDS (FERS)

1. GENERAL CORRESPONDENCE AND SUBJECT FILES. Files relate to general administration and operation of fers (including coverage, basic annuity, death benefits and refunds, disability, and debt collection). Also files that address both CSRS and FERS. Destroy when 3 years old.
2. RECORDS AND FORMS PERTAINING TO AN EMPLOYEE'S TRANSFER TO FERS, PARTICIPATION IN THE THRIFT SAVINGS PLAN AND ELIGIBILITY TO RETIRE File on permanent side of OPF.
3. APPEALS PERTAINING TO FERS ERROR CORRECTIONS Retain on board. Destroy 4 years after decision.

SSIC 12850UNEMPLOYMENT BENEFITS RECORDS

1. RECORDS GOVERNING UNEMPLOYMENT BENEFITS FOR FEDERAL CIVILIAN EMPLOYEES, ELIGIBILITY REQUIREMENTS, AND PROCEDURES FOR FILING Destroy wne 3 years old.

SSIC 12870LIFE INSURANCE RECORDS

1. RECORDS PERTAINING TO LIFE INSURANCE, ELECTION, COVERAGE, AND DESIGNATION OF BENEFICIARY Retain on board. Destroy when superseded, obsolete or no longer needed.

SSIC 12890HEALTH INSURANCE

1. RECORDS PERTAINING TO HEALTH INSURANCE REGISTRATION, ENROLLMENT AND WITHHOLDINGS

Retain on board. Destroy when superseded, obsolete or no longer needed.

SSIC 12900-12999GENERAL AND MISCELLANEOUS RECORDSSSIC 12900GENERAL AND MISCELLANEOUS RECORDS

RECORDS NOT COVERED IN OTHER SSICs IN THE 12900 SERIES

Destroy when no longer required for current operations.

SSIC 12910MOBILIZATION READINESS RECORDS

1. MOBILIZATION READINESS RECORDS. Files pertaining to emergency procedures in the event of a nuclear attack including reassignment and utilization of personnel.

Retain on board. Destroy when superseded.

SSIC 12915MILITARY SERVICE OBLIGATION RECORDS

1. MILITARY SERVICE OBLIGATION RECORDS. Files relating to obligation of department civilian employees, designation of key federal employees, and screening of reservists for military service obligation.

Destroy when superseded by annual screening of ready reserve.

SSIC 12920SENIOR EXECUTIVE SERVICE (SES) RECORDS

1. STAFFING AND SELECTION RECORDS. Records established and maintained as prescribed by OPNAVINST 12920.2, Subj: Senior Executive Service Merit Staffing.

Retain on board. Destroy 2 years after a competitive vacancy is filled or OPM evaluation, whichever occurs first, or 2 years after final disposition of discrimination complaint by DON.

2. SES MEMBERS' PERFORMANCE RECORDS. SES evaluation summary and objective performance record sheets.

Destroy 5 years after date of appraisal, exclusive of any interim service as a presidential appointee. (GRS 1.23b(3))

SSIC 12930PROGRAMS FOR SPECIFIC POSITIONS OR EXAMINATIONS (MISCELLANEOUS) RECORDS

1. RECORDS RELATING TO SPECIAL EXAMINATIONS FOR SPECIFIC POSITIONS, SUCH AS MOTOR VEHICLE OPERATOR, ATTORNEY OR LAW CLERK

Destroy when 2 years old.

SSIC 12933QUALIFICATION REQUIREMENTS FOR SPECIFIC POSITIONS RECORDS

1. POSITION IDENTIFICATION STRIPS. Strips such as standard form identification used to provide summary data on each position occupied.

Retain on board. Destroy when position is cancelled or new strip is prepared. (GRS 1.3)

SSIC 12938**CLASSIFICATION AND PAY OF SPECIFIC POSITIONS RECORDS**

1. GENERAL CORRESPONDENCE AND SUBJECT FILES

Retain on board. Destroy when position is cancelled or superseded.

SSIC 12950**SOLICITATION OF FEDERAL CIVILIAN AND UNIFORMED SERVICES PERSONNEL FOR CONTRIBUTIONS TO PRIVATE VOLUNTEER ORGANIZATIONS RECORDS**

1. CORRESPONDENCE AND FILES RELATING TO THE ADMINISTRATION AND/OR IMPLEMENTATION OF ALL RECORDS ASSOCIATED WITH INTERNAL ACCOUNTING AND AUDITING OF CONTRIBUTIONS TO PRIVATE VOLUNTEER ORGANIZATIONS.

Destroy when 1 year old.

SSIC 12971**TRAINING, PROMOTION, AND EXECUTIVE DEVELOPMENT AGREEMENTS WITH SPECIFIC AGENCIES RECORDS**

1. PERSONNEL CORRESPONDENCE AND SUBJECT FILES. Files relate to general administration and operation of personnel functions and include merit promotion and executive development program.

Destroy when 3 years old.

SSIC 12990**GENERAL AND MISCELLANEOUS RECORDS**

1. FILES RELATING TO GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS NOT SPECIFICALLY DESCRIBED ELSEWHERE IN THE 12000 SERIES. (Exclude those at agency staff planning levels.)

Destroy when 3 years old.

a. Supervisor's Personnel Files. Correspondence, memoranda, forms and other records relating to positions, authorizations, and pending action; copies of position descriptions; requests for personnel action; and records on individual employees duplicated in or not appropriate for the OPF.

(1) Annual Review.

Retain on board. Destroy when superseded or obsolete. (GRS 1.18a)

(2) Separation of transfer of employee.

Retain on board. Destroy 1 year after separation or transfer. (GRS-1.18a)

b. Duplicate Documentation. Other copies of documents duplicated in the OPF not provided for elsewhere in this schedule.

Destroy when 6 months old. (GRS 1.18B)