

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Req NCU 900518 14

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

INTERNATIONAL COMMUNICATION AGENCY

2. MAJOR SUBDIVISION

ASSOCIATE DIRECTORATE FOR MANAGEMENT

3. MINOR SUBDIVISION

OFFICE OF PERSONNEL SERVICES

4. NAME OF PERSON WITH WHOM TO CONFER

Samuel D. Staton, MGT/ATM

5. TEL EXT

724-9783

LEAVE BLANK

JOB NO

NC 1 306 78 2

DATE RECEIVED

AUG 11 1978

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

8-21-78 *James S. Rhoads*
Date Archivist of the United States

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 15 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

| | | |
|---------------------------|--|--|
| C. DATE <u>7/26/78</u> | D. SIGNATURE OF AGENCY REPRESENTATIVE <u>Harrison L. Davis</u> <i>Harrison L. Davis</i> | E. TITLE Chief, Message Center & Records Branch |
|---------------------------|--|--|

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|------------|--|--|------------------------|
| 1. | <p>Personnel Records, Unless indicated in Item 9, all items are from General Records Schedule No. 1.</p> <p><u>Official Personnel Folders:</u></p> <p>a. Civil Service Personnel Folders: consisting of records filed on the right side of the Official Personnel Folder, excluding those selected by the National Archives and Records Service for permanent retention.</p> <p>(1) Folders of transferred employees</p> <p>PROPOSED DISPOSITION: See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.</p> <p>(2) Folders of separated employees</p> <p>PROPOSED DISPOSAL: Transfer to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after date of earliest document in folder if date of birth cannot be ascertained, providing employee has been separated for at least 5 years.</p> | <p><u>III-500</u></p> <p><u>555.2a</u></p> | <p><u>78 items</u></p> |

MD 824-78

sent to NCU, NCRCA Agency

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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|----------------|---|----------------------------|---|
| 1. | <p><u>Official Personnel Folders Cont.:</u></p> <p>b. Foreign Service Personnel Folders: (<u>Note:</u> Personnel Folders of Foreign Service Employees are two-part folders. The "Administrative" Folder contains the information required to be maintained in the Official Personnel Folder by the Federal Personnel Manual and; the "Performance Evaluation Folder" containing information relating to the character and conduct of the employee and other information restricted by the Foreign Service Act of 1946, together with correspondence with employee regarding submissions of performance ratings or supplemental data for inclusion with the ratings, inquiries or comments regarding the ratings and other performance rating related material.)</p> <p>(1) Folders of Transferred employees (a) If transferred to another foreign affairs agency (Dept. of State, AID, etc.)</p> <p>PROPOSED DISPOSITION: Transfer both "Administrative" and "Performance Evaluation" folders to new agency.</p> <p>(b) If transferred to any other agency.</p> <p>PROPOSED DISPOSITION:</p> <p>(i) "Administrative" Folder: Same as in 1 (a) (1) above.</p> <p>(ii) "Performance Rating" Folders: Transfer to Washington National Records Center 1 year after transfer. Destroy 15 years after transfer <i>of employee.</i></p> <p>(2) Folders of Separated Employees:</p> <p>PROPOSED DISPOSITION:</p> <p>(i) "Administrative" Folder. Transfer to National Personnel Records Center (CPR) as proposed in 1 (a) (2).</p> <p>(ii) "Performance Rating" Folders: Transfer to Washington National Records Center 1 year after separation. Destroy 15 years after <i>separation of employee from the Foreign Service.</i></p> | NC1-306-77-3 | <i>see file, vld in phone Sam Station ICA 16 Aug 78</i> |
| 2. | <p>Service Record Cards (Standard Form 7 or equivalent).</p> | 555.26 | <i>see file, vld in phone Sam Station ICA 16 Aug 78</i> |

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| 2. | <u>Service Record Cards Cont.</u> PROPOSED DISPOSITION: Destroy 3 years after separation or transfer of employee. | | |
| 3. | <u>Correspondence and Subject Files of Operating Personnel Offices.</u> a. Files relating to the general administration and operation of personnel functions including college programs, selective placement (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Inter-governmental Affairs Fellowship, Stay In School, etc.) programs, examinations, paid recruitment advertizing, executive development program, merit promotion, employee safety program and others not specifically described elsewhere in this schedule, excluding those at Agency Staff Planning Level. PROPOSED DISPOSITION: Break annually destroy 3 years after break. b. Correspondence, reports, memoranda, and other records relating to employment programs and function, as well as manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights employee transfer and detail and excepted positions. PROPOSED DISPOSITION: Break annually. Destroy 5 years after break. | 555.2c | |
| 4. | <u>Offers of Employment</u> - Correspondence, letters and telegrams offering appointment to potential employees. a. Accepted offers PROPOSED DISPOSITION: Destroy immediately b. Declined offers (1) When name is received from certificate of eligibles PROPOSED DISPOSITION: Return to Civil Service Commission with reply and application (2) Temporary or excepted appointment PROPOSED DISPOSITION: File inside application (see | 555.2d | |

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| 4. | <u>Offers of Employment Cont.</u> item 15) (3) All others PROPOSED DISPOSITION: Destroy immediately. | | |
| 5. | <u>Certificates of Eligibles Files.</u> Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible. PROPOSED DISPOSITION: Destroy when 2 years old. | 555.2e | |
| 6. | <u>Employee Record Cards.</u> Employee record cards used for informational purposes outside personnel offices (such as SF7-B). PROPOSED DISPOSITION: Destroy on separation or transfer of employee. | 555.2f | |
| 7. | <u>Position Classification Standards Files.</u> a. Position Classification Standards Files. (1) Standards. CSC standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements. PROPOSED DISPOSITION: Destroy 5 years after position is abolished or description is superseded. (2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and CSC approval or disapproval. (a) Case File. PROPOSED DISPOSITION: Destroy 5 years after position is abolished or description is superseded. (b) Review File. PROPOSED DISPOSITION: Destroy when 2 years old. | | |

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| 7. | <p><u>Position Classification Standards Files, Cont.</u></p> <p>b. Position Descriptions. Files describing established positions including information on title, series, grade, duties and responsibilities.</p> <p>(1) Record Copy. PROPOSED DISPOSITION: Destroy 5 years after position is abolished or description superseded.</p> <p>(2) All other copies. PROPOSED DISPOSITION: Destroy when position is abolished or description superseded.</p> <p>c. Survey Files.</p> <p>(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Annual Supergrade Position Report.</p> <p>(a) Office of origin. PROPOSED DISPOSITION: Destroy when 3 years old or 2 years after regular inspection whichever is sooner.</p> <p>(b) Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations. PROPOSED DISPOSITION: Destroy when obsolete or superseded.</p> <p>d. Appeals Files. Case files relating to classification appeals. PROPOSED DISPOSITION: Destroy 3 years after case is closed.</p> | 555.2g | |
| 8. | <p><u>Interview Records.</u></p> <p>Correspondence, reports and other records relating to interviews with employees.</p> | 555.2h | |

*Office, we'd
be phone with
Sanitation JCA
15 Aug 79*

Four copies, including original, to be submitted to the National Archives and Records Service
PROPOSED DISPOSITION: Destroy 6 months after transfer
or separation of employee.

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| 9. | <u>Performance Rating Board Case Files</u> (Not FOREIGN SERVICE "PERFORMANCE EVALUATION FOLDERS" covered in Item 1b.) Copies of case files forwarded to the Civil Service Commission relating to performance rating board reviews. PROPOSED DISPOSITION: Destroy 1 year after case is closed. | GRS 1, Item 9 Amended 555.2j | |
| 10. | <u>Temporary Individual Employee Records.</u> All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31. PROPOSED DISPOSITION: Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. | 555.2j | |
| 11. | <u>Position Identification Strips.</u> Strips such as Standard Form 7D, used to provide summary data on each position occupied. PROPOSED DISPOSITION: Destroy when position is cancelled or new strip is prepared. | 555.2k | |
| 12. | <u>Employee Awards Files.</u> a. General awards records. (1) Case 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. PROPOSED DISPOSITION: Destroy 2 years after approval or disapproval. | 555.2l | |

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| 12. | <p><u>Employee Awards Files Cont.</u></p> <p>(2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> <p>b. Length of Service and Sick Leave Awards File. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.</p> <p>PROPOSED DISPOSITION: Destroy when 1 year old.</p> <p>c. Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> <p>d. Lists or Indexes to Agency Award Nominations. Lists of nominees and winners, and indexes of nominations.</p> <p>PROPOSED DISPOSITION: Destroy when superseded or obsolete.</p> <p>e. Departmental Level Awards Files. Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.)</p> <p>PROPOSED DISPOSITION: Submit SF 115, Request for Records Disposition Authority.</p> | | |
| 13. | <p><u>Incentive Awards Program Reports.</u></p> <p>Reports pertaining to the operation of the Incentive Awards Program.</p> <p>PROPOSED DISPOSITION: Destroy when 3 years old.</p> | 555.2m. | WITHDRAWN |

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| 14. | <p><u>Notifications of Personnel Action.</u></p> <p>Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.</p> <p>a. Chronological file copies, including fact sheets, maintained in personnel offices.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> <p>b. All other copies maintained in personnel offices.</p> <p>PROPOSED DISPOSITION: Destroy when 1 year old.</p> | <p>555.27</p> <p>(1)</p> <p>(2)</p> | |
| 15. | <p><u>Employment Applications.</u></p> <p>Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule).</p> <p>PROPOSED DISPOSITION: Destroy upon receipt of Civil Service Commission inspection report or when 2 years old, whichever is earlier, providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.</p> | 555.20 | |
| 16. | <p><u>Personnel Operations Statistical Reports.</u></p> <p>Statistical reports in the operating personnel office and subordinate units relating to personnel.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> | 555.2p | |
| 17. | <p><u>Correspondence and Forms Files.</u></p> <p>Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.</p> <p>a. Correspondence and forms relating to pending personnel actions.</p> | 555.2g | (1) |

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| 17. | <p><u>Correspondence and Forms Files Cont.</u></p> <p>PROPOSED DISPOSITION: Destroy when action is completed.</p> <p>b. Retention Registers.</p> <p>(1) Registers from which reduction-in-force actions have been taken.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> <p>(2) Registers from which no reduction-in-force actions have been taken.</p> <p>PROPOSED DISPOSITION: Destroy when superseded or obsolete.</p> <p>c. All other correspondence and forms.</p> <p>PROPOSED DISPOSITION: Destroy when 6 months old.</p> | | (2) (2) (4) |
| 18. | <p><u>Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.</u></p> <p>a. Supervisor's Personnel Files.</p> <p>Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.</p> <p>PROPOSED DISPOSITION: Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.</p> <p>b. Duplicate Documentation.</p> <p>Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.</p> <p>PROPOSED DISPOSITION: Destroy when 6 months old.</p> | | 555.2Y |

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| 19. | <u>Individual Health Record Files.</u> Cards which contain such information as date of employee's visit, diagnosis and treatment. PROPOSED DISPOSITION: Destroy 6 years after date of last entry. | 555.2✓ | |
| 20. | <u>Health Unit Control Files.</u> Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. a. If information is summarized on statistical reports. PROPOSED DISPOSITION: Destroy 3 months after last entry. b. If information is not summarized. PROPOSED DISPOSITION: Destroy 2 years after last entry. | 555.2w (1) (2) | |
| 21. | <u>Individual Employee Health Case File.</u> 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, <u>EXCLUDING</u> pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in the Official Personnel Folder (OPF) upon separation of employee (Ref: FPMS 293-31). Those records not required for filing in the OPF, if not retained by the agency, may be transferred to the local Federal Records Center. <u>Under no circumstances</u> should these files be sent to the National Personnel Records Center (CPR). PROPOSED DISPOSITION: Destroy 6 years after latest entry. | 555.2X | |
| 22. | <u>Statistical Summaries.</u> Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. PROPOSED DISPOSITION: Destroy 2 years after date of summary or report. | 555.2y | |

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| 23. | <p><u>Performance Rating Records (EXCLUSIVE of FOREIGN SERVICE "PERFORMANCE EVALUATION FOLDERS" COVERED IN ITEM 1b)</u></p> <p>a. Certificates of performance rating.</p> <p>PROPOSED DISPOSITION: Destroy when 2 years old.</p> <p>b. General or case files of forms, memoranda, and correspondence.</p> <p>PROPOSED DISPOSITION: Destroy when 3 years old.</p> <p>c. Appeals Files.</p> <p>Memoranda, correspondence and other records relating to employee appeals of performance rating.</p> <p>PROPOSED DISPOSITION: Destroy 3 years after final settlement of case.</p> | <p>GRS 1, Item</p> <p>23 Amended</p> <p>555.25</p> | |
| 24. | <p><u>Motor Vehicle Operation Files.</u></p> <p>See GRS 10, Item 7.</p> | 555.25 | |
| 25. | <p><u>Conflict of Interest Case Files.</u></p> <p>Statements of employment and financial interests and related records.</p> <p>PROPOSED DISPOSITION: Destroy 2 years after separation of employee or 2 years after employee leaves the position for which the statement is required.</p> | 555.22 | |
| 26. | <p><u>Equal Employment Opportunity Records.</u></p> <p>a. Official Discrimination Complaint Case Files.</p> <p>Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 5 CFR 713.222.</p> <p>(1) Cases resolved within the agency.</p> <p>PROPOSED DISPOSITION: Destroy 4 years after resolution of case.</p> | | |

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| 26. | <p data-bbox="227 333 894 365"><u>Equal Employment Opportunity Records Cont.</u></p> <p data-bbox="258 393 1121 465">(2) Cases resolved by the Civil Service Commission or a U.S. Court.</p> <p data-bbox="258 493 1105 564">PROPOSED DISPOSITION: Files are controlled by United States Civil Service Commission records schedule.</p> <p data-bbox="243 592 1136 735">b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File.</p> <p data-bbox="243 763 1105 834">PROPOSED DISPOSITION: Destroy 1 year after resolution of case.</p> <p data-bbox="243 862 1151 966">c. Background Files. Background records not filed in the Official Discrimination Complaint Case Files.</p> <p data-bbox="243 994 1044 1065">PROPOSED DISPOSITION: Destroy 2 years after final resolution of case.</p> <p data-bbox="243 1093 1059 1256">d. Compliance Records. (1) Compliance Review Files. Reviews, background papers and correspondence relating to contractor employment practices.</p> <p data-bbox="258 1284 1028 1316">PROPOSED DISPOSITION: Destroy when 7 years old.</p> <p data-bbox="258 1343 1028 1435">(2) EEO Compliance Reports. PROPOSED DISPOSITION: Destroy when 3 years old.</p> <p data-bbox="243 1463 1167 1626">e. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.</p> <p data-bbox="243 1594 997 1626">PROPOSED DISPOSITION: Destroy when 1 year old.</p> <p data-bbox="243 1654 1059 1777">f. Employment Statistics Files. Employment statistics relating to race and sex.</p> <p data-bbox="243 1745 1013 1777">PROPOSED DISPOSITION: Destroy when 5 years old.</p> | | |

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| 26. | <p><u>Equal Employment Opportunity Records Cont.</u></p> <p>g. EEO General Files. General Correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports.</p> <p>PROPOSED DISPOSITION: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.</p> <p>h. EEO Affirmative Action Plans (AAP).</p> <p>(1) Agency copy of consolidated AAP(s).</p> <p>PROPOSED DISPOSITION: Destroy 5 years from date of plan.</p> <p>(2) Agency feeder plan to consolidated AAP(s).</p> <p>PROPOSED DISPOSITION: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.</p> | | |
| 27. | <p><u>Personnel Counseling Records</u></p> <p>a. Counseling files. Reports of interviews, analyses and related records.</p> <p>PROPOSED DISPOSITION: Destroy 3 years after termination of counseling.</p> <p>b. Alcohol and Drug Abuse Program. Records created in planning, coordinating and directing an alcohol and drug abuse program.</p> <p>PROPOSED DISPOSITION: Destroy when 3 years old.</p> | | |
| 28. | <p><u>Standards of Conduct Files.</u></p> <p>Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.</p> <p>PROPOSED DISPOSITION: Destroy when obsolete or superseded.</p> | | |

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| 29. | <p><u>Labor Management Relations Records.</u></p> <p>a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups: (1) Office negotiating agreement. PROPOSED DISPOSITION: Destroy when 5 years old. (2) Other offices. PROPOSED DISPOSITION: Destroy when superseded or obsolete.</p> <p>b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases. PROPOSED DISPOSITION: Destroy 5 years after final resolution of case.</p> | | |
| 30. | <p><u>Training Records.</u></p> <p>a. <u>Training Aids.</u> (1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency. PROPOSED DISPOSITION: Submit SF 115, Request for Records Disposition Authority. (2) Training aids from other agencies or private institutions. PROPOSED DISPOSITION: Destroy when obsolete or superseded.</p> <p>b. General file of agency-sponsored training. (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences. PROPOSED DISPOSITION: Destroy when 5 years old or 5 years after completion of a specific training program.</p> | | WITHDRAWN |

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| 30. | <p><u>Training Records Cont.</u></p> <p>(2) Background and workpapers.</p> <p>PROPOSED DISPOSITION: Destroy when 3 years old.</p> <p>c. Employee training. 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, including individual employee training folders.</p> <p>PROPOSED DISPOSITION: Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p> | <p>GRS 1 item 30c Amended 555.2aa</p> | |
| 31. | <p><u>Grievance, Disciplinary and Adverse Action Files.</u></p> <p>a. Grievance, Appeals Files (5 CFR 771). Records originating in the review of grievance and appeals 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.</p> <p>PROPOSED DISPOSITION: Destroy 3 years after case is closed.</p> <p>b. Adverse Action Files (5 CFR 752). Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.</p> <p>PROPOSED DISPOSITION: Destroy 4 years after case is closed.</p> | | |