

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-GRS-88-003

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

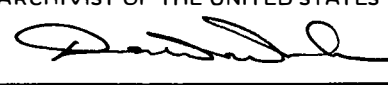
Description:

In Fiscal Year 2013, the GRS Team began a five year project to update and revise the General Records Schedules (GRS) under OMB/NARA M-12-18, Managing Government Records Directive. The old GRS was completely superseded.

See <https://www.archives.gov/records-mgmt/grs> for the revised GRS, crosswalks, faqs, tools, and other resources.

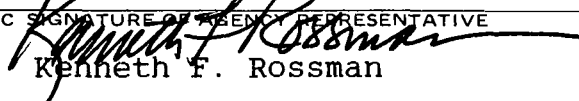
Date Reported: 4/2/2019

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK JOB NO. NI-GRS-88-3	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		DATE RECEIVED 1-20-88	
1 FROM (Agency or establishment) National Archives and Records Administration		NOTIFICATION TO AGENCY In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.	
2 MAJOR SUBDIVISION Office of Records Administration			
3 MINOR SUBDIVISION Records Appraisal and Disposition Division			
4 NAME OF PERSON WITH WHOM TO CONFER Christopher M. Beam	5 TELEPHONE EXT 724-1490	DATE 1/25/88	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 2 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 1/20/88	C SIGNATURE OF AGENCY REPRESENTATIVE  Kenneth F. Rossman	D TITLE Director, Records Appraisal and Disposition Division
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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)
1	<p>Amend General Records Schedule 1 (Civilian Personnel Records), item 23, as follows:</p> <p>Performance</p> <p>Item 23. Employee Personnel File System Records.</p> <p>a. Non-SES appointees (as defined in 5 USC 4301[2]).</p> <p>(3) Performance-related records pertaining to a former employee.</p> <p>(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.</p> <p><u>Disposition:</u> Place records on left side of the Official Personnel Folder and forward to gaining Federal agency upon transfer or to the National Personnel Records Center if employee leaves Federal service, as per GRS 1, item 1b.</p> <p>Disposition thereafter will be in accordance with item 23a(3)(b) of</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.
N1-GRS-88-3PAGE
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>An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.</p> <p>(b) All others.</p> <p><u>Disposition:</u> Destroy when 3 years old or when no longer needed, whichever is sooner.</p> <p>b. SES appointees (as defined in 5 USC 3132a(2)).</p> <p>(2) Performance-related records pertaining to a former SES appointee.</p> <p>(a) Latest rating of record that is less than 5 yearstold, performance plan upon which it is based, and any summary rating.</p> <p><u>Disposition:</u> Place records on left side of the Official Personnel Folder and forward to gaining Federal agency upon transfer or to the National Personnel Records Center if employee leaves Federal service, as per GRS 1, item 1b. An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23b(2)(b) of this schedule.</p> <p>(b) All others.</p> <p><u>Disposition:</u> Destroy when 5 years old or when no longer need, whichever is sooner.</p>		<p><i>Revised</i> <i>3/16/88</i></p>

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION		JOB NO N1-GRS-88-3	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>An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.</p> <p>(b) All other performance ratings and plans.</p> <p><u>Disposition:</u> Destroy when 3 years old or when no longer needed, whichever is sooner.</p> <p>b. SES appointees (as defined in 5 USC 3132a[2]) .</p> <p>(2) Performance-related records pertaining to a former SES appointee.</p> <p>(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.</p> <p><u>Disposition:</u> Place records on left side of the Official Personnel Folder and forward to gaining Federal agency upon transfer or to the National Personnel Records Center if employee leaves Federal service, as per GRS 1, item 1b. An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23b(2)(b) of this schedule.</p> <p>(b) All other performance ratings and plans.</p> <p><u>Disposition:</u> Destroy when 5 years old or when no longer need, whichever is sooner.</p>		

Records Center if employee leaves Federal service, as per GRS 1, item 1b. These documents should be destroyed in accordance with the schedule below whenever an agency retrieves an OPF from storage. Disposition thereafter will be in accordance with item a(3)(b) of this schedule.

Item a(3)(b):
All others.

Destroy when 3 years old or when no longer needed, whichever is sooner.

Item 23b(2)(a):
SES Appointees etc.

Place records on left side of the Official Personnel Folder and forward to gaining Federal agency upon transfer or to the National Personnel Records Center if employee leaves Federal service, as per GRS 1, item 1b. These documents should be destroyed in accordance with the schedule below whenever an agency retrieves an OPF from storage. Disposition thereafter will be in accordance with item b(2)(b) of this schedule.

Item b(2)(b):
All others.

Destroy when 5 years old or when no longer needed, whichever is sooner.

We believe these recommended changes will satisfy the needs of all concerned. We would appreciate your annotating these changes on the SF 115, Request for Records Disposition Authority, before resubmitting to NARA.

GENERAL RECORDS SCHEDULE 1

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

	(2) Inspection, Audit and Survey File. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when obsolete or superseded.
	d. Appeals Files.	
	Case files relating to classification appeals.	Destroy 3 years after case is closed.
8.	<u>Interview Records.</u>	
	Correspondence, reports and other records relating to interviews with employees.	Destroy 6 months after transfer or separation of employee.
9.	<u>Performance Rating Board Case Files.</u>	
	Copies of case files forwarded to OPM relating to performance rating board reviews.	Destroy 1 year after case is closed.
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.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. Follow item 23 instructions for disposition of performance records.
11.	<u>Position Identification Strips.</u>	
	Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Destroy when position is cancelled or new strip is prepared.
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	Destroy 2 years after approval or disapproval.

ments must be in separate small envelopes, with the OPF envelope fastened to the inside right-hand side of the Standard Form 66 and the EPFS fiche fastened to the left-hand side

S5-10. USE OF RECORDS

a The Civil Service Reform Act requires that agencies are to establish an employee performance rating system which "uses the results of performance [rating] as a basis for decisions about training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees." (5 U S C 4302(a)(3)) Decisions concerning Performance Management and Recognition System employees will conform to these criteria. With regard to SES appointees, the performance rating shall "provide a basis for making eligibility determinations for retention in the Senior Executive Service and for Senior Executive Service Performance Awards" (5 U S C 4312(a)(4)). Thus, many of the uses of performance ratings are defined by statute, and performance-related supporting documents should be those that will ensure accurate and fair ratings of actions taken, when a basis for the action is performance.

b Agency implementing instructions need not provide any detailed description concerning uses of records in a given set of circumstances. Agency issuances shall be deemed to meet the requirement of describing uses of the records by relating uses to those areas (included but not limited to them) described above and in the agency's performance management plan.

S5-11. DISPOSITION OF RECORDS

a Method of disposal. The method whereby agencies dispose of records that, by statute or established retention schedule must be destroyed, shall be determined by the agencies. This is true for paper, automated, or microform records, and shall be described in the agency's implementing instructions.

b PMRS, GS, and PRS employee records. (1) Any rating of record that is 3 years old or less, along with the performance plan upon which the latest rating is based, *must* be sent with the OPF to the next servicing personnel office (within the same or to another agency) or to the NPRC. Additionally, an employee who changes positions during an appraisal period will be given a "summary rating" covering performance in the initial position. Such a summary rating *must* always accompany the OPF. (NOTE: The obligation to send

certain ratings and the latest performance plan with the OPF is met when such records are maintained in an automated mode and a computer generated facsimile of the rating or performance plan is sent.

If such records are maintained on microfiche, the losing agency meets this obligation by sending the microfiche. A paper copy made from the microfiche may also be sent, if the gaining agency requests it.

(2) All other EPFS records (including the performance plans upon which a rating of record other than the most recent one is based) are to be retained in accordance with agency instructions. However, such records may be retained no longer than 3 years.

c SES employee records. (1) Any rating of record that is less than 5 years old and the performance plan upon which it is based, *must* be sent with the OPF to the next servicing personnel office (same or different agency) or to the NPRC. (NOTE: If such records are maintained in an automated mode, a computer generated facsimile may be sent. If such records are maintained on microfiche, the losing agency may send either the microfiche or a paper copy made from the microfiche.)

(2) EPFS records of former SES appointees that are not forwarded with the OPF may be retained for as long as the agency deems appropriate up to 5 years.

(3) All EPFS records pertaining to an SES appointee who is serving on a Presidential appointment (5 CFR 214) should *not* be disposed of until that appointment is completed. Upon the individual's return to his/her SES position, the EPFS records should be reviewed and any record whose retention schedule has passed should be disposed of. If the person accepts employment in another SES position or leaves Federal service, the EPFS records are to be disposed of in accordance with applicable retention schedules.

d It is the Office's position that retention of EPFS records (other than automated statistical records) for former employees longer than one year after separation serves no useful purpose, unless the record is currently relevant to an ongoing administrative (e.g., grievance), quasi-judicial (e.g., appeal before the Merit Systems Protection Board), or judicial (e.g., litigation) process.

e When a current non-SES employee is appointed to an SES position in the same employing agency, forwarding of performance ratings and any appropriate related data, where the rating is less than 3 years old, is an agency option. However, ratings so forwarded remain subject to retention schedules applicable to non-SES ratings, i.e., they may be retained no longer than 3 years. With regard to an SES appointee moving to a

non-SES position, the transfer of the SES ratings of record and related material is an agency option

f If an agency still has the performance file when a former employee returns to work at that agency, use of those performance records less than 3 years (5 years for SES) old, as a basis of an agency decision affecting the employee, is appropriate. However, the agency is obligated to purge the file of outdated records, consistent with statutory and NARA-established retention schedules.

S5-12. SAFEGUARDING RECORDS

a Agencies should take all reasonable steps to protect performance records. Each employee responsible for maintaining the records should be instructed to use caution and discretion when disclosing such records. Records should be retained in secured areas and in locked cabinets or desks when not in use.

b Automated and Microform records should be stored where retrieval is controlled through use of access codes and audit trails.

c. Safeguarding these records requires protections against: (1) casual access to them, (2) inappropriate disclosure of them to agency officials or others outside of the agency, and (3) inappropriate invasions of personal privacy.

S5-13. FREEDOM OF INFORMATION ACT/ PRIVACY ACT CONSIDERATIONS

a.(1) Whether or not an agency maintains these records in a system of records within the meaning of the Privacy Act, any person may seek access to them by citing the Freedom of Information Act (FOIA).

(2) Processing of FOIA requests will be as prescribed by agencies, consistent with OPM's regulations at 5 CFR 293 and 297. The regulations at 5 CFR 293.311 state that certain employee information, under certain conditions, is considered to be available to the public.

b The Office's regulations at 5 CFR 294.108 describe when an agency may direct an appeal of its denial of a third party FOIA request for access to information in one of the Office's Governmentwide Privacy Act systems of records to the Office's General Counsel. The agency is to provide, in its regulations, under what circumstances the individual will have this right of appeal to the Office rather than to the agency. The Office will accept such an appeal only when the agency has done this and only after a written agency decision to deny access has been issued.

c It is the Office's practice to process an individual's request for Privacy Act records pertaining to him/her under that statute. When no statute is cited, the practice is to process the request under the Privacy Act, recognizing that the requester will receive no less access than that which he/she would get under the FOIA. A Privacy Act denial for access to records covered by one of the Office's Governmentwide Privacy Act systems of records should be appealed to the Office's Assistant Director for Workforce Information, Personnel Systems and Oversight Group, 1900 E Street, NW, Washington, D C 20415.

d To generally provide the individual with unrestricted access to records, the Office has not claimed any Privacy Act exemptions for the EPFS system of records. To minimize disclosures of sensitive records the Office has established limited routine uses. Any agency believing that an exemption or that either a change to an existing routine use or a new routine use is needed, may submit such a request to the Assistant Director for Workforce Information, Office of Personnel Management, 1900 E Street, NW, Washington, D C. 20415.

e. Generally, individuals seeking to challenge the merits of a performance-related issue will use the proper agency administrative or negotiated challenge procedures rather than the Privacy Act amendment procedures.

S5-14. RELATIONSHIP OF PERSONAL NOTES TO THE SYSTEM

a The Office requirement that agencies describe what performance-related records will be maintained on employees, where, and for how long, is worded to provide needed flexibility for agencies. All performance-related records maintained as a system of records, including those rating officials keep for use in assessing performance (e.g., in the rating official's work folder), should be considered part of the Office's Governmentwide Privacy Act system of records unless the agency specifically excludes them or they are considered personnel non-agency records.

b The retention of individual personal, non-agency records might include those that

(1) are retained for the personal use of the author only as a memory aid, *and*

(2) are not circulated to anyone else, *and*

(3) are not under the control of the agency (i.e., they may be retained or discarded solely as the author sees fit).

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
23.	<u>Employee Performance File System Records.</u>	
a.	Non-SES appointees (as defined in 5 USC 4301(2)).	
(1)	Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.
(2)	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession.
(3)	Performance-related records pertaining to a former employee.	
(a)	Latest rating of record 3 years old or less and performance plan upon which it is based and any summary rating.	Follow the disposition for the Official Personnel Folder (see item 1 of this schedule).
(b)	All others.	Destroy when 3 years old or when no longer needed, whichever is sooner.
(4)	All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy 3 years after date of appraisal.
(5)	Supporting documents.	Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner.
b.	SES appointees (as defined in 5 USC 3132a(2)).	

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|---|---|
| (1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. | Destroy upon supersession. |
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 | |
| (2) Performance-related records pertaining to a former SES appointee. | |
| (a) Latest rating of records that is less than 5 years old and performance plan upon which it is based. | Follow the disposition for the Official Personnel Folder (see item 1 of this schedule). |
| (b) All others. | Destroy when 5 years old, or when no longer needed, whichever is sooner. |
|
 | |
| (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214). | Destroy 5 years after date of appraisal. |
|
 | |
| (4) Supporting documents. | Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner. |

[Note: OPM has yet to recommend standards for performance-related records pertaining to Presidential appointees. These records may not be destroyed until disposition standards are approved by NARA.]