

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-GRS-93-002

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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 The old GRS was completely superseded.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INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE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 (NARA use only)
JOB NUMBER

N1-GRS-93-2

DATE RECEIVED

-4-93

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
National Archives and Records Administration

2. MAJOR SUBDIVISION
Office of Records Administration

3. MINOR SUBDIVISION
Records Appraisal and Disposition Division

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE
Jerome Nashorn 02-501-6050

DATE

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE

6-14-93

AGENT

TITLE

Director, Records Appraisal & Disposition Div.

7. ITEM NO

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

Proposed addition to General Records Schedule (GRS) 1, Civilian Personnel Records, Handicapped Individual Appointment Case Files

See attached page

Sent

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Handicapped Individual
Appointment Case Files.

Records created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2. Each case file must contain the following:

- 1) Position title and description.
- 2) SF 171, fully executed.
- 3) Medical examiner's report.
- 4) A brief statement explaining accomodation of impairment.
- 5) Other documents related to previous appointment, certification, and/or acceptance or refusal

Destroy five (5) years following the date of approval or disapproval of each case.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Handicapped Individual
Appointment Case Files.

Records created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2. Each case file must contain the following:

Destroy five (5) years following the date of approval or disapproval or each case.

- 1) Position title and description.
- 2) SF 171, fully executed.
- 3) Medical examiner's report.
- 4) A brief statement explaining accomodation of impairment.
- 5) Other documents related to previous appointment, certification, and/or acceptance or refusal

Subchapter 4: Employment of the Physically Handicapped

4-1. DEFINITION

A physically handicapped person is defined as one who: (1) has a physical impairment which substantially limits one or more of such person's major life activities, (2) has a record of such an impairment, or (3) is regarded as having such an impairment. (For more details, see subchapter 1, section 1 of this chapter.)

4-2. APPOINTMENT

a. **Competitive appointment procedures.** Many physically handicapped individuals find employment through the normal competitive procedures in the same manner as the nonhandicapped. However, where required, the following assistance is available.

(1) From OPM area offices and job information centers throughout the country—

- (a) Advisory service on job qualifications, appropriate civil service examinations, and sources for obtaining additional training where needed.
- (b) Special examination arrangements for applicants whose impairments prevent them from competing equitably (e.g., providing readers for the blind and interpreters for the deaf, waiving certain verbal tests for the deaf, providing enlarged answer blocks and allowing additional time for individuals with poor dexterity or motor coordination, and providing some tests in taped, large print and/or braille form.

(2) From agency coordinators for employment of handicapped individuals—

- (a) Technical advice and assistance to supervisors on placement, assistive devices, job redesign, worksite modifications, etc.
- (b) Work site or job modification, or both, where needed, e.g., providing ramp entrance to building and enlarged toilet stalls to accommodate wheelchairs, making parking available close to building, lowering desk, raising chair or work bench, modifying file drawer arrangement, rearranging office furniture for safer entry and exit, and reengineering positions to accommodate handicapped persons.

b. Temporary Appointments not to exceed 700-hours.

(1) Many physically handicapped people who are unable to obtain appointments even with examination modification can profit greatly from an opportunity to demonstrate what they can do under a trial appointment. For these handicapped persons, such an appointment can overcome employer reluctance to hire them on a regular basis for fear that they will not be able to perform on the job efficiently or safely, or that they will not fit in with and be accepted by the work force. For this purpose, OPM has made available a temporary not to exceed 700-hours trial appointment authority for handicapped applicants. (FPM chapter 316, section 4-6e.) The agency makes no commitment for permanent employment; however, the temporary limited appointment is usually long enough (approximately four months) for the severely handicapped person to establish his/her job readiness. It is not necessary for the agency to set up a special temporary position in order to utilize this procedure. Appointment may be made to a regular continuing position as long as employment does not exceed 700 hours during a consecutive 12-month period.

Appointments under this authority may be Grades GS 1 through 15 and positions covered by the Federal wage system.

(1) Under this procedure, eligibility for the temporary limited appointment can be determined by the agency employer in one of two ways:

- (a) The agency may accept a certification from either the Veterans Administration or a State vocational rehabilitation agency. Details concerning the certification procedure are in paragraph d below.
- (b) The agency may apply OPM's minimum qualification standards for the position concerned (including administering a written test if required).

c. **Excepted appointment procedures.** The excepted appointment authority in section 213.3102(u) of Schedule A was developed to provide an alternate route for employment of severely physically handicapped individuals. This includes identification and, if re-

quired, restructuring or modification of job tasks and work environment of a specific position to accommodate the severely physically disabled individual. There are two ways by which a handicapped person may be given an excepted appointment.

(1) The first is the conversion of the proposed appointee's temporary trial appointment to a Schedule A appointment. The appointee must have successfully demonstrated ability to do the job under the temporary trial appointment during a period within 12 months immediately preceding the agency's recommendation for conversion to the excepted appointment.

(2) The second permits a direct Schedule A appointment without a prior temporary trial appointment. The agency may accept a certification concerning the proposed appointee from either the Veterans Administration or a State vocational rehabilitation agency in lieu of successful job performance under a temporary trial appointment. Details concerning the certification procedure are in paragraph d.

d. Certification procedure. A severely physically handicapped person is considered to meet OPM's qualifications standards for either a temporary trial appointment or a Schedule A appointment when an appropriate certification is received from a counselor of either the Veterans Administration or a State vocational rehabilitation agency. The certification will be based on knowledge of the jobsite by the counselor and will relate to a specific position.

(1) The certification must state that in the counselor's judgment the proposed appointee for the position has the ability to perform the duties of the position and is physically qualified to do the work without hazard to himself/herself or to others.

(2) The certification must be supported by a report of a medical examination that fully reflects the nature and extent of the disability and a narrative statement that documents:

- (a) Ability of the proposed appointee to do the job, based on such factors as training, education, and previous job performance.
- (b) Recommendations of job modifications, if needed.
- (c) Recommendations for work-site modifications, if needed.
- (d) Limitations of the proposed appointee which would affect work in the job situation.
- (e) Other information concerning the proposed appointee which would be helpful in assuring a successful placement.

A medical examination by the agency to determine

physical qualifications should not be confused with the medical examination required here. In this context, the medical examination must document specifically how the individual is affected or limited by the disability or handicap. It is not sufficient to use conclusory descriptions such as "severe". The limitation must be described so that the actual condition may be determined.

e Recordkeeping. Agencies must maintain a record of each case (approval or disapproval) for a period of 5 years. Because of the confidential nature of these records, information must be collected and maintained according to the existing maintenance, use and disposition schedules for medical records. Each case file must include the following:

(1) The position title, grade, and description of duties.

(2) The proposed appointee's Personal Qualifications Statement (SF 171) fully executed.

(3) A report of a medical examination that fully reflects the nature and extent of the disability.

(4) A brief statement explaining how the proposed appointee's physical impairment(s) is/are accommodated in the specific position and work environment.

(5) One of the following:

(a) If the proposed appointee has served under a temporary trial appointment: A statement that the employee entered the position under a temporary trial appointment in a period within 12 months immediately preceding the agency recommendation; the nature and duration of the trial appointment; and an evaluation of his/her work performance which reflects ability to perform the job. If the determination of qualifications was based on a certification by the Veterans Administration or State vocational rehabilitation agency, a copy of that certification and the narrative comments should be included.

(b) If the proposed appointee has not served under a temporary trial appointment: A copy of the certification from the Veterans Administration or State vocational rehabilitation agency and supporting documents must be included.

(6) Documentation of the reasons for approval or disapproval of the appointment.

f. Criteria for approval of Schedule A, section 213.3102(u) appointments. Eligibility for appointment under this authority is based primarily on the severity of the physical impairment. A severe physical impairment is one that is relatively permanent and seldom fully corrected by medical treatment, therapy,

or surgical means. Consideration is also given to the effect of a particular disease, or physical impairment upon how a person functions in a particular job. (Guidance for determining eligibility is contained in appendix C of this chapter.)

In some cases, a disability is readily apparent; however, in other instances, a disability may not be visible yet may have a severe impact upon a person's major life activities. Also, a person may have several handicaps of a less severe nature which, when considered alone, would not meet the criteria for eligibility but, when considered together, indicate a serious disability to function on a job without selective placement considerations.

Eligibility may also be based on considerations, other than those related solely to physical disability, that take into account the degree to which a handicap affects placement of a person in a specific job environment. Examples of the kinds of factors which are considered are:

- (1) Whether or not the regular selection instrument used is a true indicator of the person's ability to perform the tasks of the position even with special testing techniques.
- (2) Whether the individual, despite being qualified, has been unsuccessful in obtaining employment due to nonjob related criteria, i.e., employer attitudes about the disability.
- (3) Whether, despite a good work history and/or a good educational background, an individual has become disabled as an adult and is unable to secure employment because (a) past work experience and education are no longer compatible with his or her disability and (b) attitudinal barriers may prohibit consideration for employment even if the disability is compatible with his or her knowledge skills and abilities.
- (4) Whether, despite a successful work record, a person has been underemployed or unable to advance due to attitudinal barriers or lack of training, reasonable accommodation, upward mobility, etc.
- (5) Whether the tasks of the position have been restructured to accommodate the capabilities and/or disabilities of the individual.
- (6) Whether site modifications or special equipment are needed to do the job.

Some severely physical handicapped persons may have competitive eligibility and/or their past work history may show steady employment. Nevertheless,

other factors such as those listed above may make an excepted appointment the only avenue open to them for Federal employment. For this reason, a thorough review of each case is necessary.

g. Promotions and reassignments. Agencies may make promotions and reassignments under Schedule A, section 213.3102(u) within the same department or agency. However, recertification may be required if either the physical or qualification requirements for the new position are substantially different.

h. Positions not excepted after separation. A position filled through appointment under section 213.3102(u) automatically reverts to the competitive service upon the separation of the person for whom the appointment was approved.

4-3. CONVERSION TO COMPETITIVE STATUS

(a) **Legal basis.** Executive Order 12125, dated March 15, 1979, and implementing regulation 315.709 of title 5 CFR, part 315 Subpart G, authorizes the noncompetitive conversion of physically handicapped employees serving on Schedule A, section 213.3102(u) appointments to competitive status after 2 years of successful performance. Depending on the length of creditable service, employees may be noncompetitively converted to career-conditional or career appointments. This affords employees who perform successfully on the job the full benefits of civil service employment and status.

(b) **Crediting service.** The service requirement for conversion to competitive status is satisfied when an employee's service meets all of the following:

- (1) The service begins with a nontemporary Schedule A, section 213.3102(u) appointment. If the employee was initially appointed under a temporary appointment, not to exceed 700-hours the beginning date of creditable service, for this purpose only, is the effective date of the conversion to the excepted appointment.
- (2) It is current, substantially continuous service. Only current employees who have completed 2 years of service under a Schedule A, section 213.3102(u) appointment are eligible for conversion. Breaks of 30 calendar days or less do not interrupt substantially continuous service.
- (3) The service adds up to a minimum of 2 years of calendar time. Employees with 3 or more calendar years of service may be converted to career tenure. Service is counted as follows:

Full-time and part-time employment is counted from the date of appointment to the excepted appointment, regardless of hours worked, on a calendar year basis. Intermittent employment is computed on the basis of 1 day's credit for each day in a pay status. (520 days constitute 2 years time in a pay status; 780 days constitute 3 years).

(c) **Conversion procedures.** Conversion of employees who meet these requirements will be based upon supervisory recommendation. No prior approval by OPM is required. Conversion under Executive Order 12125 is *not* mandatory for retention in the

position; however, there should be substantial justification for not recommending conversion of an employee who meets the minimum service requirement and who has demonstrated successful job performance.

Personnel actions should contain the following codes and natures of action:

(a) 500—Conversion to Career Appt—when the employee has completed the service requirement for career tenure.

(b) 501—Conversion to Career-conditional Appt—when the employee has completed the 2 year service requirement for conversion. The authority to be shown is Regulation 315.709 (authority code LIM).