

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)

General Services Administration

2 MAJOR SUBDIVISION

National Archives and Records Service

3 MINOR SUBDIVISION

Office of Federal Records Centers

4 NAME OF PERSON WITH WHOM TO CONFER

Ronald L. Heise

5 TEL EXT

724-1698

LEAVE BLANK	
JOB NO	
NC 1-64-77-10	
DATE RECEIVED 24 MAR 1977	
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the disposal request, including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
MAR 30 1977 Date	<i>James B. Rhoads</i> 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 14 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	D SIGNATURE OF AGENCY REPRESENTATIVE	E TITLE
<u>3/25/77</u>	<i>Thomas W. Hall</i>	Director, Records Disposition Division
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO
	<p align="center">GENERAL RECORDS SCHEDULE 1 (Revised) <u>Civilian Personnel Records</u></p> <p>The attached schedule supersedes GRS 1, Civilian Personnel Records, approved in 1967, as amended.</p>	
		10 ACTION TAKEN
		76 items

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal Civilian Employees. This Schedule covers the disposition of all official personnel folders of civilian employees and all other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the U. S. Civil Service Commission, Federal Health Programs Service, the Office of Workers' Compensation Programs. Any records created prior to January 1, 1921, must first be offered to the National Archives and Records Service for possible permanent retention before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, and Service Record Cards, are maintained according to the U. S. Civil Service Commission's Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel offices.

ITEM

NO.DESCRIPTION OF RECORDSAUTHORIZED DISPOSITION1. Official Personnel Folders.

Records filed on the right side of the Official Personnel Folder (OPF).
(See GRS 1, Item 10 for disposal of papers on the left or "temporary" side of the OPF.)

- a. Folders covering periods of employment terminated prior to January 1, 1921.

Submit SF 115, Request for Records Disposition Authority.

- b. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service for permanent retention.

- (1) Transferred employees.

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

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(2) Separated employees.

Transfer folder 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 the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.

2. Service Record Cards.

Service Record Card (Standard Form 7 or its equivalent).

a. Cards for employees separated or transferred on or before December 31, 1947.

Transfer to NPRC, (CPR), St. Louis, Missouri.

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

Destroy 3 years after separation or transfer or employee.

3. Personnel Correspondence and Subject Files.

a. Files relating to the general administration and operation of personnel functions and 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 advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.

Destroy when 3 years old.

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	b. Correspondence, reports, memoranda, and other records relating to employment programs and functions, and manpower management and evaluation; including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.	Destroy when 5 years old.
4.	<u>Offers of Employment <i>Files</i></u>	
	Correspondence, letters, and telegrams offering appointments to potential employees.	
	a. Accepted offers.	Destroy immediately.
	b. Declined offers.	
	(1) When name is received from certificate of eligibles.	Return to Civil Service Commission with reply and application.
	(2) Temporary or excepted appointment.	File inside application (see item 15 of this schedule).
	(3) All others.	Destroy immediately.
5.	<u>Certificates of Eligibles Files.</u>	
	Correspondence, forms and other records relating to requests for CSC certification of eligibles, such as certificates of eligibles, requests for certification, statement of reasons for passing over a preference eligible, selecting a nonpreference eligible.	Destroy when 2 years old.
6.	<u>Employee Record Cards.</u>	
	Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).	Destroy on separation or transfer of employee.

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7.	<u>Position Classification Files.</u>	
	a. Position Classification Standards Files.	
	(1) Standards. CSC standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	Destroy 5 years after position is abolished or description is superseded.
	(2) Development. Memoranda, correspondence and other records related to the development of standards for classification of positions peculiar to the agency and CSC approval or disapproval.	
	(a) Case File.	Destroy 5 years after position is abolished or description is superseded.
	(b) Review File.	Destroy when 2 years old.
	b. Position Descriptions.	
	Files describing established positions including information on title, series, grade, duties and responsibilities.	
	(1) Record copy.	Destroy 5 years after position is abolished or description superseded.
	(2) All other copies.	Destroy when position is abolished or description superseded.

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	c. Survey Files.	
	(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.	
	(a) Office of origin.	Destroy when 3 years old or 2 years after regular inspection whichever is sooner.
	(b) Inspection, Audit and Survey Files. 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 prospective employees.	Destroy 6 months after transfer or separation or employee.
9.	<u>Performance Rating Board Case Files.</u>	
	Copies of case files forwarded to CSC 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.

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11.	<u>Position Identification Strips.</u> Strips such as Standard Form 7, 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 agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. (2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Destroy 2 years after approval or disapproval. Destroy when 2 years old.
	b. Length of Service and Sick Leave Awards File. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	Destroy when 1 year old.
	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.	Destroy when 2 years old.

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	d. Lists or Indexes to Agency Award Nominations.	
	Lists of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete.
	e. Departmental Level Awards Files.	
	Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.)	Submit SF 115, Request for Records Disposition Authority.
13.	<u>Incentive Awards Program Reports.</u>	
	Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.
14.	<u>Notifications of Personnel Action.</u>	
	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.	
	a. Chronological file copies, including fact sheets, maintained in personnel offices.	Destroy when 2 years old.
	b. All other copies maintained in personnel offices.	Destroy when 1 year old.
15.	<u>Employment Applications.</u>	
	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).	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.

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16.	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms.</u> <i>Files.</i> Operating personnel offices records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.	
	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is completed.
	b. Retention Registers.	
	(1) Registers from which reduction-in-force actions have been taken.	Destroy when 2 years old.
	(2) Registers from which no reduction-in-force actions have been taken.	Destroy when superseded or obsolete.
	c. All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.</u>	
	a. Supervisor's Personnel Files. 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.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation of transfer.

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	b. Duplicate Documentation. Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	Destroy when 6 months old.
19.	<u>Individual Health Record Files.</u> Cards which contain such information as date of employee's visit, diagnosis and treatment.	Destroy 6 years after date of last entry.
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 statisitcal reports. b. If information is not summarized..	Destroy 3 months after last entry. Destroy 2 years after last entry.
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> sould these files be sent to the National Personnel Records Center (CPR).	Destroy 6 years after latest entry.

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22.	<u>Statistical Summaries.</u> Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date of summary or report.
23.	<u>Performance Rating Records.</u> a. Certificates of performance rating. b. General or case files of forms, memoranda, and correspondence. c. Appeals Files. Memoranda, correspondence and other records relating to employee appeals of performance rating.	Destroy when 2 years old. Destroy when 3 years old. Destroy 3 years after final settlement of case.
24.	<u>Motor Vehicle Operation <i>File?</i></u> See GRS 10, Item 7.	
25.	<u>Conflict of Interest Case Files.</u> Statements of employment and financial interests and related records.	Destroy 2 years after separation of employee of 2 years after employee leaves the position for which the statement is required.
26.	<u>Equal Employment Opportunity Records.</u> a. Official Discrimination Complaint Case Files. 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.	

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	(1) Cases resolved within the agency.	Destroy 4 years after resolution of case.
	(2) Cases resolved by the Civil Service Commission or a U. S. Court.	Files are controlled by United States Civil Service Commission records schedule.
b.	Copies of Complaint Case Files.	
	Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File.	Destroy 1 year after resolution of case.
c.	Background Files.	
	Background records not filed in the Official Discrimination Complaint Case Files.	Destroy 2 years after final resolution of case.
d.	Compliance Records.	
	(1) Compliance Review Files.	
	Reviews, background papers and correspondence relating to contractor employment practices.	Destroy when 7 years old.
	(2) EEO Compliance Reports.	Destroy when 3 years old.
e.	Employee Housing Requests.	
	Forms requesting agency assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.
f.	Employment Statistics Files.	
	Employment statistics relating to race and sex.	Destroy when 5 years old.

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	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.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
	h. EEO Affirmative Action Plans (AAP).	
	(1) Agency copy of consolidated AAP(s).	Destroy 5 years from date of plan.
	(2) Agency feeder plan to consolidated AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
27.	<u>Personnel Counseling Records</u>	
	a. Counseling files.	
	Reports of interviews, analyses and related records.	Destroy 3 years after termination of counseling.
	b. Alcohol and Drug Abuse Program.	
	Records created in planning, coordinating and directing an alcohol and drug abuse program.	Destroy when 3 years old.
28.	<u>Standards of Conduct Files.</u>	
	Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.

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29.

Labor Management Relations Records.

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. Destroy when 5 years old.

(2) Other offices. Destroy when superseded or obsolete.

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases. Destroy 5 years after final resolution of case.

30.

Training Records.

a. Training Aids.

(1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency. Submit SF 115, Request for Records Disposition Authority.

(2) Training aids from other agencies or private institutions. Destroy when obsolete or superseded.

A. 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. Destroy when 5 years old or 5 years after completion of a specific training program.

(2) Background and workpapers. Destroy when 3 years old.

B. Employee training.

Correspondence, memoranda, reports and other records relating to the available of training and employee participation in training programs sponsored by other government agencies or non-government institutions. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

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	d. Course Announcement Files.	
	Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.	Destroy when superseded or obsolete.
31.	<u>Grievance, Disciplinary and Adverse Action Files.</u>	
	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.	Destroy 3 years after case is closed.
	b. Adverse Action Files (5 CFR 752).	
	Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary 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.	Destroy 4 years after case is closed.