

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-412-85-28**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

Item 1 was superseded by N1-412-94-002 item 18 and N1-412-06-006 schedule 127

Item 2 was superseded by N1-412-94-002 item 3 and N1-412-06-006 schedule 006

Item 4 was superseded by N1-412-07-062 item 3

Item 16 was a filing instruction

Item 21 was superseded by N1-412-07-062 schedule 570

Item 22 was non-record convenience copies

All other items were not appraised

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK</b>	
TO: <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO <b>NC 1-412-85-28</b>	
1 FROM (Agency or establishment) <b>Environmental Protection Agency</b>		DATE RECEIVED <b>8-26-85</b>	
2 MAJOR SUBDIVISION <b>Personnel Management Division</b>		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Thomas Tasker</b> <b>Harold Webster</b>	5 TELEPHONE EXT. <b>382-5911</b> <b>382-5912</b>	DATE <b>12-31-86</b>	ARCHIVIST OF THE UNITED STATES <b>Frank S. Burke</b>
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 8 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 <b>8/23/85</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <b>Thomas Tasker</b>	D TITLE <b>Agency Records Management Officer</b>	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)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 - 22	<p>Personnel Records Control Schedule is being revised to make it consistent with the Program's current operations. The revision of this schedule is part of a major review and update of the EPA Records Control Schedules.</p> <p>Attached is a copy of the revised Personnel Records Control Schedule.</p>	Appendix B Schedule 6	
<b>(5 items)</b>			

# U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

PERSONNEL RECORDS

COVERAGE OF SCHEDULE

AGENCYWIDE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Personnel Correspondence Files. Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at the Agency's staff planning levels.
2. Program Management File. Consists of records related to the management and administrative support of each unit of the Personnel Management Division. Records consist of program planning and implementation, personnel needs, work accomplishments, budgetary materials, and other program management activities.
3. Official Personnel Folders (civilian).
  - a. Permanent Material (right side of folder). Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual specifies the documents required for inclusion in Official Personnel Folders. (Note: Official personnel jackets of Commissioned Officers in the Public Health Service are maintained by the PHS Personnel Department, Rockville, Maryland).

Retention: Retain 3 years.

Disposition: Break file at end of year. Keep in office 3 years, then destroy.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.

Retention: Retain folders of EPA employees until separated or transferred (see Disposition for detailed information on the proper handling and disposing of Official Personnel Folders).

Disposition: Official Personnel Folder of EPA employees will be disposed of in accordance with instructions in the FPM and the following:

(1) Folders for employees separated for active military duty who have restoration rights and employees transferred to public international organizations with reemployment rights will be retained until reemployment or expiration of these rights. (2) Folders for employees reached for reduction in force whose names have been entered on the Reemployment Priority List will be retained until their names are removed from the list. (3) Folders for employees who were involuntarily separated and who appeal their separation may be retained until the appeal is resolved. (4) Folders for separated employees for whom permanent records are outstanding or for whom retirement, insurance, or other claims are being adjudicated may be retained for the additional time required to obtain and file the records or to adjudicate claims. (5) Where there is a work situation which makes it probable that the same people will be employed repeatedly for short periods of time, their folders may be retained for a maximum period of two years

RECORDS MANAGEMENT MANUAL

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
		after the date of their last separation. (6) Folders for employees who were involuntarily separated and who are entitled to severance pay under section 550.702 of the Office of Personnel Management regulations shall be retained until the former employee is reemployed without time limitation or is reemployed under an appointment limited to more than one year, after a break of more than three days, or until the severance pay fund is exhausted, whichever comes first. Employee transferring to another Federal Agency follow instructions in FPM. Employees who have separated transfer folders to inactive file in accordance with the FPM, then transfer folders to NPRC, (CPR), St. Louis, Missouri, 30 days after separation.
b.	<u>Temporary Material (left side of folder).</u> Documents maintained as <del>temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.</del>	<u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file upon transfer or separation or 1 year, whichever is earlier.
4.	<u>Agency Personnel Folders (Public Health Service Commissioned Corps Personnel).</u> Documents accumulated to provide a record of status and service of personnel temporarily assigned to EPA. The PHS Personnel Department specifies the "duplicate" documents to be maintained by non-PHS agencies.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file upon separation or transfer. Keep in office 2 years, then destroy.
5.	<u>Service Record Card. (Standard Form 7).</u> Cards showing service records of employees <del>separated or transferred.</del>	<u>Retention:</u> Retain 3 years. <u>Disposition:</u> <del>Break file after employees' separation or transfer.</del> Keep in office 3 years, then destroy.
6.	<u>Employment.</u> <u>a. Applications for employment and related papers, excluding (a) records relating to appointments and requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder.</u>	<u>Retention:</u> Retain 2 years for SES and 1 year for non-SES. <u>Disposition:</u> Break file upon receipt of Office of Personnel Management (OPM) report of inspection or when 2 years old, whichever is earlier. Keep in office 2 years for SES and 1 year for non-SES, then destroy.

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	b. <del>Employee Examination Records.</del>	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office 2 years, then destroy.
	c. All other employment records such as records of special recruitment programs for shortage categories, employment in the excepted service, use of non-profit employment services, and records of appointments outside the register.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office 2 year, then destroy.
7.	Appointment Files. Correspondence, letters, and telegrams offering appointments to potential employees.	
	a. <u>Accepted Appointments.</u> If appointment is accepted, file with temporary personnel papers on left side of folder.	<u>Retention:</u> Same as item 3b. <u>Disposition:</u> Same as item 3b.
	b. <u>Declined Appointments.</u> If appointment is declined.	<u>Retention:</u> Retain 1 month. <u>Disposition:</u> Break file after 1 month. Return to OPM with reply and application if name was received from certificate of eligibles.
8.	Certificate Files.	
	a. Requests for certificate of eligibles.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file after certificate is closed. Keep in office and destroy 2 years after date of certificate.
	b. Certificate of eligibles.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file after certificate is closed. Keep in office and destroy 2 years after date of certificate.
9.	Classification.	
	a. <u>Position Description Files.</u> Documents which describe duties, responsibilities, and supervisory relationships of each position within the organization. These include copies of position descriptions of General Schedule and Wage Board positions, position description amendments, certifications, checklists or fill-in descriptions, multiple or standard descriptions and related papers.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file as position descriptions become inactive. Keep in office 5 years, then destroy.

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	b. <u>Position Classification Survey Files</u> . Documents created by performing systematic examination of the essential aspects of all positions and position design and structuring within an area. Included are position survey reports, records of classification surveys, position review classifications, review papers, recommendations, and related papers.	<u>Retention</u> : Retain 5 years. <u>Disposition</u> : Break file at end of year following completion of survey. Keep in office 5 years, then destroy.
10.	<u>Personnel Action Files (SF 50)</u> . Copies exclusive of those in Official Personnel Folders accumulated to provide a record of inspection, statistics, references, preparation of reports, etc.	<u>Retention</u> : Retain 2 years. <u>Disposition</u> : Break file at end of pay period Keep in office 2 years, then destroy.
11.	<u>Miscellaneous Personnel Records Files</u> . Correspondence and forms in operating personnel offices relating to personnel.	
	a. Correspondence and forms relating to pending personnel action.	<u>Retention</u> : Dispose when action is completed. <u>Disposition</u> : Break file after completion of personnel action, then destroy.
	b. Retention Registers (including card files and related papers). These are lists or printouts prepared before reduction-in-force for each competitive level affected by the reduction.	<u>Retention</u> : Retain 2 years unless an appeal or court case is pending. <u>Disposition</u> : Break file at end of year. Keep in office 2 years, then destroy, unless an appeal or court case is pending, destroy after the case is resolved, whichever is later.
	c. Retention Registers (including card files and related papers) from which <u>no</u> reduction-in-force actions have been taken.	<u>Retention</u> : Retain until superseded. <u>Disposition</u> : Destroy when superseded.
12.	<u>Merit Promotion Files</u> . Position vacancy announcements, bids, applications for job vacancies, evaluations, referrals, requests for certificates of eligibles, certificates of eligibles for appointment, copies of registers, and selected papers maintained by personnel offices.	<u>Retention</u> : Retain 2 years. <u>Disposition</u> : Break file at end of year. Keep in office 2 years, then destroy, provided that requirements of the FPM are observed or unless an appeal case is pending. Destroy after case is resolved.

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13.	<u>Employee Performance.</u>		
	a. <u>Incentive Awards.</u> Records documenting an employee suggestion, superior performance award, or quality within-grade increase.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office 2 years, then destroy.	
	b. <u>Incentive Awards Program - Reports.</u>	<u>Retention:</u> Retain 3 years. <u>Disposition:</u> Break file after report is completed. Keep in office 3 years, then destroy.	
	c. <u>Performance Rating Appeals Files.</u> Consist of copies of employee's appeals of his performance rating, copies of decisions rendered and other material pertaining to the case.	<u>Retention:</u> Retain 3 years. <u>Disposition:</u> Break file at end of year in which final decision is made. Keep in office 3 years, then destroy.	
	d. <u>Civilian Service.</u> Length of Service Control Files. Controls maintained to record eligibility for an award of civilian service emblems.	<u>Retention:</u> Retain until superseded by current ADP list. <u>Disposition:</u> Destroy when new ADP list is created.	
	e. <u>SES Performance Rating Files.</u> Consist of copies of executive's completed performance agreement; executive's written comments and requests for review of proposed rating, if any; results of review by a Reviewing Official and/or Performance Review Board; and other materials relating to the case.	<u>Retention:</u> Retain 5 years or transfer to gaining agency if 5 years or less. <u>Disposition:</u> Break file at end of year. Keep in office 5 years, then destroy, or transfer to gaining agency if 5 years or less.	
14.	<u>Employee Relations.</u>		
	a. <u>Appeals and Grievances Files.</u> Files related to reviewing, hearing, and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. These include material pertinent to individual employees but not filed in the Official Personnel Folder, such as employees appeals of disciplinary actions, summaries and transcripts of hearings, designation of committee members, committee reports, Office of Personnel Management reports and related papers.	<u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file at end of year after final decision. Keep in office 6 months, then transfer to the FRC. Destroy when 4 years old.	

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15.	Employee Benefits Files. Documents relating to the origination, implementation, or monitoring of employee benefits, such as group life insurance and health plans. Health Benefits Registration and Notices of Change in Enrollment Status Form, signed originals.	<u>Retention:</u> Same as Item 3a. <u>Disposition:</u> Same as Item 3a.	
16.	Health Record Case Files. Files contain correspondence, reports, and other papers documenting employee medical history.  a. Preemployment physical examination, Health Qualification Placement Records, and fitness for duty examination.  b. All other papers. (Post employment)	<u>Retention:</u> Same as Item 3a. <u>Disposition:</u> Same as Item 3a.  <u>Retention:</u> See disposition below. <u>Disposition:</u> Disposal not authorized per GSA Bulletin B-112.	
17.	Retirement Program Files. Copies of documents created in providing assistance and instructions to employees regarding retirement and interpretation of matters pertaining to retirement program, including benefits, eligibility, types of annuities and retirements.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office 2 years, then destroy.	
18.	Training Program Files. Files contain documents which describe the operation, accomplishments, and other matters relative to the training program.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office 5 years, then destroy.	
19.	Training Report Files. Reports compiled pertaining to training and all related papers.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file one year after completion of report. Keep in office 5 years, then destroy.	
20.	Personnel Statistical Reports. Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Office of Personnel Management, other comparable reports, and related papers.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year when report is completed. Keep in office 2 years, then destroy.	

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SCHED NO

## TITLE OF SCHEDULE

PERSONNEL RECORDS

## COVERAGE OF SCHEDULE

AGENCYWIDE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
21.	<p><u>Intergovernmental Personnel Act (IPA) Assignment Files.</u> Records documenting the temporary assignment of personnel between the Federal Government and State or local governments, institutions of higher education, Indian tribal governments and other eligible organizations.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file upon termination of assignment. Keep in office 2 years, then destroy.</p>
22.	<p><u>Freedom of Information Response File.</u> Includes copies of incoming requests for information under the Freedom of Information Act, copies of replies, and copies of any inter-agency memoranda concerning the request. Note: this file does not contain the Program's official record of information being requested.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office current plus 1 additional year. Destroy when 2 years old.</p>

Atch to SF 115 (Revised Item Numbers compared to Previous Item Numbers,  
Schedule Number, and NARS Job Number)

Title Of Schedule: Personnel Records

<u>REVISED</u> <u>Item Numbers</u>	<u>Item No.</u>	<u>PREVIOUS</u> <u>Schedule No.</u>	<u>NARS Job No.</u>
1. (New)		B-6	NCI-412-75-4
2. (New)			
3.	1.		
4. (New)			
5.	2.		
6.	3.		
7.	4.		
8.	5.		
9.	6.		
10.	7.		
11.	8.		
12.	9.		
13.	10.		
14.	11.		
15.	12.		
16.	13.		
17.	14.		
18.	15.		
19.	16.		
20.	17.		
21. (New)			
22. (New)			