

Request for Records Disposition Authority

Records Schedule Number DAA-0478-2019-0001

Schedule Status Approved

Agency or Establishment Office of Personnel Management

Record Group / Scheduling Group Records of the Office of Personnel Management

Records Schedule applies to Agency-wide

Schedule Subject Agency Compliance and Evaluation (ACE)

Internal agency concurrences will be provided No

Background Information

ACE adjudicates classification appeals, Fair Labor Standards Act (FLSA) claims, compensation and leave claims, and declination of reasonable offer appeals. ACE also settles disputed claims for unpaid compensation due to Federal employees. ACE was created during a reorganization in 2010.

OPM has statutory oversight responsibility to ensure agency HR programs are operating effectively, efficiently, and in accordance with the merit system principles. ACE carries out this responsibility through the conduct of agency human capital management evaluations:

- Large agency HC management evaluations: OPM regulations require agencies to also self-assess their HR programs. ACE oversees these activities, participating in agency evaluations to ensure they are conducted in accordance with OPM requirements. ACE also trains agency evaluators.
- Small agency HC management evaluations: ACE conducts evaluations of small agencies to determine if HR programs are effective and comply with merit system principles and other civil service laws.
- Delegated Examining Unit evaluations: OPM may delegate to agencies the authority to conduct competitive examining. ACE evaluates agencies to ensure their delegated examining programs comply with legal requirements and operate effectively. ACE also teaches agency staff how to conduct delegated examining.
- Special Studies: ACE conducts evaluations of government-wide (or multiple agency) human capital management authorities with a specific focus area or interest. Studies are published on OPM's website.
- Interchange Agreements: OPM and an agency having an established merit system in the excepted service may enter into an interchange-agreement prescribing conditions under which employees may be moved from the agency's system to

the competitive service. ACE conducts reviews of interchange agreements to determine if the agency's system is in compliance with the merit system principles and may be continued.

- **Pre-appointment Reviews of Political Appointees to Covered Civil Service Positions:** ACE reviews agency requests to appoint current or recent political appointees to competitive, career senior executive, or non-political excepted service positions to ensure appointments comply with merit system principles and applicable civil service laws.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	2	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0478-2019-0001

Sequence Number	
1	ACE Program Files Disposition Authority Number: DAA-0478-2019-0001-0001
2	Appellate Files Involving Classification, FLSA, Compensation and Leave, and Declination of Reasonable Offer Cases
2.1	Significant Appellate Decisions Disposition Authority Number: DAA-0478-2019-0001-0002
2.2	Final Appellate Decisions Other than Significant Decisions Disposition Authority Number: DAA-0478-2019-0001-0003
2.3	Appellate Case Files Disposition Authority Number: DAA-0478-2019-0001-0004
3	Government-wide Human Capital Management Evaluation Reports
3.1	Significant Final Reports Disposition Authority Number: DAA-0478-2019-0001-0005
3.2	All Other Reports Disposition Authority Number: DAA-0478-2019-0001-0006
4	Government-wide Human Capital Management Evaluation Case Files Disposition Authority Number: DAA-0478-2019-0001-0007
5	Accountability Program Management (APM) Council Files Disposition Authority Number: DAA-0478-2019-0001-0008
6	Files on Pre-appointment Reviews of Political Appointees to Covered Civil Service Positions
6.1	Case Files Disposition Authority Number: DAA-0478-2019-0001-0009
6.2	Supplemental Documentation Disposition Authority Number: DAA-0478-2019-0001-0010
6.3	Records Covered by Verification Statement Disposition Authority Number: DAA-0478-2019-0001-0011

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 618 411">ACE Program Files</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0478-2019-0001-0001</p> <p data-bbox="345 485 1528 789">These files contain the records relating to the activities of OPM's Agency Compliance and Evaluation Program office in directing and carrying out the policies, program functions, and responsibilities of the office. These records include, but are not limited to, plans and strategic plans; policies, guidance, and procedures; meeting materials; statistics; training materials, including but not limited to invitations, rosters, templates, and job aids; outreach materials; correspondence not included in case files; and other related materials not represented elsewhere in this schedule.</p> <p data-bbox="345 810 915 842">Final Disposition Temporary</p> <p data-bbox="345 863 846 894">Item Status Active</p> <p data-bbox="345 915 802 947">Is this item media neutral? No</p> <p data-bbox="345 968 1089 999">Explanation of limitation Electronic records only.</p> <p data-bbox="345 1020 818 1146">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="345 1167 818 1262">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1293 659 1325">Disposition Instruction</p> <p data-bbox="345 1356 1289 1388">Cutoff Instruction Cut off when superseded or obsolete.</p> <p data-bbox="345 1409 1427 1482">Retention Period Destroy 10 years after cutoff or when no longer needed for business, whichever is later.</p> <p data-bbox="345 1524 656 1556">Additional Information</p> <p data-bbox="345 1577 948 1608">GAO Approval Not Required</p>
2	<p data-bbox="345 1640 1435 1713">Appellate Files Involving Classification, FLSA, Compensation and Leave, and Declination of Reasonable Offer Cases</p>
2.1	<p data-bbox="345 1734 781 1766">Significant Appellate Decisions</p> <p data-bbox="345 1787 1154 1818">Disposition Authority Number DAA-0478-2019-0001-0002</p> <p data-bbox="345 1839 1528 1944">These records consist of the periodic publication Digest of Significant Classification Decisions and Opinions and decisions cited in the Digest. OPM does not publish a similar digest for FLSA, compensation and leave, or declination of reasonable offer</p>

cases but will offer significant decisions to NARA before implementing disposition of those records.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cut off upon issuance of the final decision or of a request by the appellant to withdraw the claim.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after block closes

Additional Information

First year of records accumulation 1977

What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2015

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	3.2 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

Final Appellate Decisions Other than Significant Decisions

2.3	Disposition Authority Number	DAA-0478-2019-0001-0003
	These records consist of final decisions and opinions.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off upon issuance of the final decision or of a request by the appellant to withdraw the claim.
	Retention Period	Destroy 15 years after cutoff or when no longer needed for business, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	Appellate Case Files	
	Disposition Authority Number	DAA-0478-2019-0001-0004
	These records include: appeals; notifications; reconsideration documentation; agency administrative reports; documentation of cancellations of appeals; supporting documentation; and related documentation.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	

3 3.1	Cutoff Instruction	Cut off upon issuance of the final decision or of a request by the appellant to withdraw the claim.
	Retention Period	Destroy 7 years after cutoff or when no longer needed for business reasons, whichever comes later.
	Additional Information	
	GAO Approval	Not Required
	<p>Government-wide Human Capital Management Evaluation Reports These records include, but are not limited to: final summary reports issued to programs and associated correspondence; final assessments of agencies' evaluation systems, including results and trends; approvals of agency evaluation systems; approvals of agency evaluation systems; information on Delegated Examining Units that are considered to be at risk; metrics; decisions to certify programs, suspend their authorities, or decertify them; and related information.</p>	
	Significant Final Reports	
	Disposition Authority Number	DAA-0478-2019-0001-0005
	<p>These records consist of final reports or special studies that were precedent-setting or that attracted Congressional interest or substantial attention from the media.</p>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff
	Additional Information	
	First year of records accumulation	2010
	What will be the date span of the initial transfer of records to the National Archives?	From 2010 To 2014

	How frequently will your agency transfer these records to the National Archives?	Every 5 Years	
		Estimated Current Volume	Annual Accumulation
	Electronic/Digital	5.32 GB	319 MB
	Paper		
	Microform		
	Hardcopy or Analog Special Media		
3.2	All Other Reports Disposition Authority Number DAA-0478-2019-0001-0006 Final Disposition Temporary Item Status Active Is this item media neutral? No Explanation of limitation Electronic records only. Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes Disposition Instruction Cutoff Instruction Cut off at the end of the fiscal year. Retention Period Destroy 10 year(s) after cutoff Additional Information GAO Approval Not Required		
4	Government-wide Human Capital Management Evaluation Case Files Disposition Authority Number DAA-0478-2019-0001-0007 These records include, but are not limited to, background information on the agencies, programs, and locations audited or trained by ACE; evidence submitted by audited agencies, programs, and locations; minutes and notes from meetings		

5	with these agencies and programs; certifications; case-related correspondence, including requests from the Office of the Special Counsel (OSC) or others that ACE conduct an evaluation and correspondence from ACE to the OSC requesting that the OSC investigate potential prohibited personnel practices; and other related records.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off when all activities have been completed.
	Retention Period	Destroy 7 years after cutoff or when no longer needed to business, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	Accountability Program Management (APM) Council Files	
	Disposition Authority Number	DAA-0478-2019-0001-0008
	The APM Council consists of representatives from the 24 Chief Human Capital Officers (CHCO) Act agencies who convene to discuss and coordinate efforts around human capital management program performance in the Federal space. These records consist of list of members, program notes, agendas, and to-do lists.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes

Cutoff Instruction	Cut off when superseded or obsolete.
Retention Period	Destroy 5 year(s) after cutoff

GAO Approval **Not Required**

6

6.1

Disposition Authority Number DAA-0478-2019-0001-0009

These records support OPM's activities in evaluating requests from agencies to hire current or recent political appointees into covered civil service positions. Each case file consists of an Agency Pre-Appointment Checklist or equivalent, supporting documentation, and decision documentation. Supporting documentation includes, as applicable to the case, a cover letter from the agency designee; position descriptions of the political and civil service positions; organizational charts/agency information identifying the location of the political and civil service positions; the covered civil service position recruitment file, including evidence of fair and open competition (recruitment notice/job opportunity announcement, if applicable); assessment and rating criteria; application packages and qualification determinations; declinations and/or pass overs and objections; certificate of eligible/referral list(s); information about rating or ranking panel members and recommending and selecting officials; and OPM Review checklist containing a statement verifying the review of applicable information. Decision documentation consists of, as applicable to the case, a signed decision letter or memorandum from OPM; referral to the Office of Special Counsel (OSC) and final resolution; and documentation regarding appointment or non-appointment of the current or recent political appointee to the covered career civil service position at the agency.

Final Disposition Temporary

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation Electronic records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data?

Disposition Instruction

6.2	Cutoff Instruction	Cut off upon appointment or notification of non-appointment from the agency, or upon resolution by OSC.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Supplemental Documentation	
	Disposition Authority Number	DAA-0478-2019-0001-0010
	These records consist of supplemental materials, as applicable, not captured in the case files item that are accumulated during OPM reviews of agency requests to hire current or recent political appointees into covered civil service positions. These files include, but are not limited to, agency background information, related policies, and additional supplemental documentation.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
6.3	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off upon appointment or notification of non-appointment from the agency, or upon resolution by OSC.
	Retention Period	Destroy 3 years after cutoff, but longer retention up to 5 years is authorized if needed for business use.
	Additional Information	
	GAO Approval	Not Required
	Records Covered by Verification Statement	
	Disposition Authority Number	DAA-0478-2019-0001-0011
	OPM may include in the case file a statement verifying that staff reviewed all applicable documentation required by OPM checklists before recommending approval or denial to appoint a current or recent political appointee to a covered	

civil service position. The records covered by this item are the supporting documentation consulted for the verification statement. When this item is used, OPM will maintain the verification statement according to the disposition instructions for the case files item. The records covered by the verification statement, and not required for retention, pertain to documentation deemed irrelevant to the final decision of the case reviewed, rendering the records of no enduring business value.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic records only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cut off upon placement of the verification statement in the case file.

Retention Period Destroy 3 years after cutoff, but no longer than up to 5 years.

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
03/13/2019	Certify	Bethany Letalien	Management Analyst	Office of the Chief Information Officer - Information Management Division
03/20/2020	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/01/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/03/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/03/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist