



USAID
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USAID Washington Disposition Schedule Chapter 17: Personnel Records

A Mandatory Reference for ADS Chapter 502

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**USAID WASHINGTON DISPOSITION SCHEDULE
CHAPTER 17 PERSONNEL RECORDS**

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
17090	2) Temporary or excepted appointment.	with reply and application. (GRS 1, Item 4.b.(1)) Temporary. File with application (GRS 1, Items 33.k, 33.l, 33.m, or 33.n, as appropriate)
17100	3) All others.	Temporary. Destroy immediately. (GRS 1, Item 4.b.(3))
17110	Certificate of Eligibles Files – Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.	Temporary. Cut off files annually. Destroy when 2 yrs. old. (GRS 1, Item 5.)
17120	Employee Record Cards – Employee record cards used for informational purposes outside personnel office (such as SF 7-B). (NOTE: Effective December 31, 1994, the SF-7 card became obsolete. Agencies may use an internal agency form.)	Temporary. Destroy on separation or transfer of employee. (GRS 1, Item 6.)
17130	Position Classification Files a. <u>Position Classification Standards Files.</u> 1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the Agency.	Temporary. Destroy when superseded or obsolete. (GRS 1, Item 7.a.(1))
17140	2) Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval. (a) Case Files.	Temporary. Destroy 5 yrs. after position is abolished or superseded. (GRS 1 Item 7.a.(2)(a))
17150	(b) Review Files.	Temporary. Destroy when 2 yrs. old. (GRS 1 Item 7.a.(2)(b))
17160	b. <u>Position Descriptions</u> – Files describing established positions including information on title, series, grade, duties, and responsibilities. 1) Record copy.	Temporary. Destroy 2 yrs. after position is abolished or description superseded. (GRS 1, Item 7.b.)
17170	2) All other copies.	Temporary. Destroy when position is abolished or description superseded.
17180	c. <u>Survey Files.</u> 1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.	Temporary. Cut off files annually. Destroy when 3 yrs. old or 2 yrs. after regular

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		inspection, whichever is sooner. (GRS 1, Item 7.c.(1))
17190	2) Inspection, Audit and Survey Files. Includes correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits, and evaluations.	Temporary. Destroy when obsolete or superseded.(GRS 1, Item 7.c.(2))
17200	d. <u>Appeal Files</u> – Case files relating to classification appeals.	Temporary. Destroy 3 yrs. after case is closed. (GRS 1, Item 7.d.(1))
17210	Interview Records – Correspondence, reports, and other records relating to interviews with employees.	Temporary. Destroy 6 months after transfer or separation of employee. (GRS 1, Item 8.)
17220	Performance Rating Board Case Files – Copies of case files, forwarded to OPM, relating to performance rating board reviews.	Temporary. Destroy 1 yr. after case is closed. (GRS 1, Item 9.)
17230	Temporary Individual Employee Records – All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of OPM’s Guide to Personnel Recordkeeping.	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. (GRS 1, Item 10.a)
17240	Position Identification Strips – Strips, such as Standard Form 7D, used to provide summary data on each position occupied. (NOTE; Effective December 31, 1994, the SF-7D became obsolete.)	Temporary. Destroy when superseded or obsolete. (GRS1, Item 11.)
	Employee Awards Files	
17250	a. <u>General awards records.</u> 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.	Temporary. Destroy 2 yrs. after approval or disapproval.(GRS 1, Item 12.a.(1))
17260	2) Correspondence or memoranda pertaining to awards from other Federal agencies or non-Federal organizations.	Temporary. Destroy when 2 yrs. old. (GRS 1, Item 12.a.(2))
17270	b. <u>Length of Service and Sick Leave Awards Files.</u> Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	Temporary. Destroy when 1 year old. (GRS 1, Item 12.b.)
17280	c. <u>Letters of Commendation and Appreciation.</u> 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.	Temporary. Destroy when 2 yrs. old. (GRS 1, Item 12.c.)

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17290	d. <u>Lists or Indexes to Agency Award Nominations</u> . Lists of nominees and winners, and indexes of nominations.	Temporary. Destroy when superseded or obsolete. (GRS 1, Item 12.d.)
17300	<u>Incentive Awards Program Report</u> – Reports pertaining to the operation of the Incentive Awards Program.	Temporary. Destroy when 3 yrs. old. (GRS 1, Item 13.)
17310	<u>Notifications of Personnel Actions</u> – Standard Form 50, documenting initial employment, promotions, transfers, separation, exclusive of those in the OPF. a. Chronological file copies, including fact sheets, maintained in personnel offices.	Temporary. Destroy when 2 yrs. old. (GRS 1, Item 14.a.)
17320	b. All other copies maintained in personnel offices.	Temporary. Destroy when 1 yr. old. (GRS 1, Item 14.b.)
17330	<u>Employment Applications</u> – Applications and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointments requiring Senatorial confirmation and applications, resulting in appointment, which are filed in the Official Personnel Folder (see items 17010 - 17030).	Temporary. Destroy upon receipt of OPM inspection report or when 2 yrs. old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed. (GRS 1, Item 15.)
17340	<u>Personnel Operations Statistical Reports</u> – Statistical reports in the operating personnel office and subordinate units relating to personnel management activities within the Agency.	Temporary. Destroy when 2 yrs. old. (GRS 1, Item 16.)
17350	<u>Correspondence and Forms Files</u> – Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule. a. <u>Correspondence and forms relating to pending personnel actions</u> .	Temporary. Destroy when action is completed. (GRS 1, Item 17.a.)
17360	b. <u>Retention Registers and related records</u> . 1) Registers and related records used to effect reduction-in-force actions.	Temporary. Destroy when 2 yrs. old (GRS 1, Item 17.b.(1))
17370	2) Registers and related records from which no reduction-in-force actions have been taken.	Temporary. Destroy when superseded or obsolete. (GRS 1, Item 17.b.(2))
17380	c. <u>All other correspondence and forms</u> .	Temporary. Destroy when 6 months old. (GRS 1, Item 17.c.)
17390	<u>Medical Case Files</u> – Medical histories; examinations, including laboratory reports; hospital reports; and clinical interviews and other material pertaining to Foreign Service employees and their eligible dependents and employees of other Government agencies who are participating in the medical and health programs of the Department or State.	Temporary. Cut off when employee separates. Retire to NPRC St. Louis, MO., 2 yrs.

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17430	<p>performance plan upon which it is based, and any summary rating. An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item GRS 23a.(3)(b).</p> <p>4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.</p>	<p>30 days after latest separation. NPRC will destroy 65 years after separation from federal service.(GRS 1, Item 1.b) Temporary. Destroy 4 yrs. after date of appraisal. (GRS 1, Item 23.a.(4))</p>
17440	5) Supporting documents.	<p>Temporary. Destroy 4 yrs. after date of appraisal. (GRS 1, Item 23.a.(5))</p>
17450	<p>b. <u>SES appointees</u> (as defined in 5 USC 3132a(2). 1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</p>	<p>Temporary. Destroy when superseded. (GRS 1, Item 23.b.(1))</p>
17460	<p>2) Performance-related records pertaining to a former SES appointee. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.</p>	<p>Temporary. Transfer to NPRC 30 days after latest separation. NPRC will destroy 65 yrs. after separation from federal service.(GRS 1, Item 1.b)</p>
17470	<p>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 (5CFR 214).</p>	<p>Temporary. Destroy 5 yrs. after date of appraisal. (GRS 1, Item 23.b.(3))</p>
14780	4) Supporting documents.	<p>Temporary. Destroy 5 yrs. after date of appraisal. (GRS 1, Item 23.b.(4))</p>
17490	c. <u>Presidential appointees.</u>	<p>Temporary. Agency must submit schedule request to NARA.</p>
Financial Disclosure Reports – See USAID Chapter 6 LEGISLATIVE AND LEGAL AFFAIRS RECORDS.		(GRS 25 Item 2)
Equal Employment Opportunity Records		
17500	<p>a. <u>Official Discrimination Complaint Case Files.</u> – Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records, or cases resolved within the agency, by EEOC, or by a U.S. Court.</p>	<p>Temporary. Destroy 4 yrs. after resolution of case. (GRS 1, Item 25.a.)</p>
17510	<p>b. <u>Copies of Complaint Case Files</u> – Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.</p>	<p>Temporary. Destroy 1 year after resolution of case. (GRS 1, Item 25.b.)</p>
17520	<p>c. <u>Preliminary and Background Files</u> – Background records not filed in the Official Discrimination Complaint Case Files.</p>	<p>Temporary. Destroy 2 yrs. after final resolution of case.</p>

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
17530 17540 17550	<p>d. <u>Compliance Records</u>.</p> <p>1) Compliance Review Files. Reviews, background papers, and correspondence relating to contractor employment practices.</p> <p>2) EEO Compliance Reports.</p> <p>e. <u>Employee Housing Requests</u> – Forms requesting Agency assistance in housing matters, such as rental or purchase.</p>	<p>(GRS 1,Item 25.c. (1))</p> <p>Temporary. Destroy when 7 yrs. old.(GRS 1,Item 25.d.(1))</p> <p>Temporary. Destroy when 3 yrs. old.(GRS 1,Item 25.d. (2))</p> <p>Temporary. Destroy when 1 yr. old. (GRS 1, Item 25.e.)</p>
17560 17570 17580 17590	<p>f. <u>Employment Statistics Files</u> – Employment Statistics relating to race and sex. (NOTE: Electronic master files and databases created to supplement or replace the records covered by GRS 1, Item 21, are not authorized for disposal. Such files must be scheduled on an SF 115.)</p> <p>g. <u>EEO General Files</u>. – 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 later legislation; and Agency EEO Committee meeting records, including minutes and reports.</p> <p>h. <u>EEO Affirmative Action Plans (AAP)</u>.</p> <p>1) Agency copy of consolidated AAP(s).</p> <p>2) Agency feeder plan to consolidated AAP(s).</p>	<p>Temporary. Destroy when 5 yrs. old. (GRS 1, Item 25.f.)</p> <p>Temporary. Destroy when 3 yrs. old, or when superseded or obsolete, whichever is applicable. (GRS 1, Item 25.g.)</p> <p>Temporary. Destroy 5 yrs. from date of plan. (GRS 1, Item 25.h.(1))</p> <p>Temporary. Destroy 5 yrs. from date of feeder plan or when administrative purposes have been served, whichever is sooner. (GRS 1, Item 26.h.(2))</p>
17600 17610	<p><u>Personnel Counseling Records</u></p> <p>a. Counseling files – Reports of interviews, analyses, and related records.</p> <p>b. Alcohol and Drug Abuse Program – Records created in planning, coordinating and directing an alcohol and drug abuse program.</p>	<p>Temporary. Destroy 3 yrs. after termination of counseling. (GRS 1, Item 26.a.)</p> <p>Temporary. Destroy when 3 yrs. old. (GRS 1, Item 26.b.)</p>
17620	<p><u>Standards of Conduct Files</u> – Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.</p>	<p>Temporary. Destroy when 6 yrs. old or when superseded or obsolete, whichever is later. (GRS 25, Item 1.b.)</p>
	<p><u>Labor Management Relations Records</u></p> <p>a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records</p>	

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17630	relating to the relationship between management and employee unions or other groups: 1) Office negotiating agreement.	Temporary. Destroy 5 yrs. after expiration of agreement. (GRS 1, Item 28.a.(1))
17640	2) Other offices.	Temporary. Destroy when superseded or obsolete. (GRS 1, Item 28.a.(2))
17650	b. Labor Arbitration General and Case Files. Correspondence, forms and background papers relating to labor arbitration cases.	Temporary. Destroy 5 yrs. after final resolution of case. (GRS 1, Item 28.b.)
<u>Training Records</u>		
<u>a. Training Aids.</u>		
17660	1) Record copy of each manual, syllabus, textbook, and other training aid developed for Agency specific training.	Permanent. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.
17670	2) Training aids developed for administrative or facilitative training.	Temporary. Destroy when superseded.
<u>b. General file of Agency-sponsored training.</u>		
17680	1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses, and conferences.	Temporary. Destroy when 5 yrs. old or 5 yrs. after completion of a specific training program. (GRS 1, Item 29.a.(1))
17690	2) Background and working files.	Temporary. Destroy when 3 yrs. old. (GRS 1, Item 29.a.(2))
<u>c. Employee training.</u> Correspondence, memoranda, reports and other records relating to the availability of training programs sponsored by other government agencies or non-government institutions.		
17700		Temporary. Destroy when 5 yrs. old or when superseded or obsolete, whichever is sooner. (GRS 1, Item 29.b.)
17710	<u>d. Course Announcement Files.</u> Reference file of pamphlets, notices, catalogs and other records that provide information on courses or programs offered by government or non-government organizations.	Temporary. Destroy when superseded or obsolete.
<u>Grievance, Disciplinary and Adverse Action Files</u>		
17720	a. Grievance and 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.	Temporary. Destroy no sooner than 4 yrs but no later than 7 yrs. after case is closed. (GRS 1, Item 30.a.)

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
17730	<p>b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). 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 documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand, which are filed in the OPF.</p> <p>(NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.)</p>	<p>Temporary. Destroy no sooner than 4 yrs but no later than 7 yrs. after case is closed. (GRS 1, Item 30.b.)</p>
17740	<p>Personal Injury Files – Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the EMF and copies submitted to the Department of Labor.</p>	<p>Temporary. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 yrs. after cutoff. (GRS 1, Item 31.)</p>
17750	<p>Merit Promotion Case Files – Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates.</p>	<p>Temporary. Destroy after OPM audit or 2 yrs. after the personnel action is completed, whichever is sooner. (GRS 1, Item 32.)</p>
GRS1, Item 43.	<p>Electronic Mail and Word Processing System Copies. – Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records described in this chapter. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>Temporary. Destroy/delete when dissemination, revision, or updating is completed.</p>