

**DISTRICT OF COLUMBIA
GENERAL RECORDS SCHEDULE 1**

Personnel Records

Agency personnel records relate to the supervision over and management of District employees. This schedule covers the disposition of all official personnel folders of District employees and all other records relating to personnel, wherever located in the agency.

The most important types of records, the Official Personnel Folders and Service Record Cards, are maintained according to District Personnel Manual Chapter 31, which prescribes a system of recordkeeping for District personnel offices.

Records created prior to January 1, 1921, must be offered to the D.C. Archives before applying the disposition instructions set forth in this schedule.

This general records schedule was approved by the D.C. Records Disposition Committee on June 17, 1987. It replaces D.C. Schedule 40, Section 1.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
1.	Official DS Personnel Folders. Consist of records of civilian personnel covered by the District Salary Act. Included are permanent records filed chronologically on the right side of the OPF, such as qualification inquiries, personnel record cards, performance ratings, personnel actions, and other pertinent documents that provide the official record of personnel actions pertaining to the employee's status and service.	
a.	Folders covering periods of employment terminated prior to January 1, 1921.	Submit request for disposition authority to D.C. Archives.
b.	Folders covering periods of employment terminated after December 31, 1920.	
	(1) Transferred employees.	See District Personnel Manual Chapter 31A, Section 3123 for instructions relating to employees transferred to another agency.
	(2) Separated employees.	Transfer folder to Records Center 30 days after separation. Records Center will destroy 75 years after birth date of employee (60 years after the date of the earliest documentation in the folder if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
2.	All Other Official Personnel Folders.	
	Included are folders covered by the D.C. Police and Firemen's Salary Act, the D.C. Teachers' Salary Act, and any other employees not under the DS Salary Act.	Transfer to Records Center 90 days after separation. Records Center will destroy 75 years after birth date of employee (60 years after date of the earliest document in the folder if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later.
3.	Service Record Cards (DCSF-7 or equivalent).	
	a. Cards for employees separated or transferred on or before December 31, 1947.	Transfer to Records Center. Destroy 60 years after earliest personnel action date.
	b. Cards for employees separated or transferred on or after January 1, 1948.	Destroy 3 years after separation or transfer of employee.
4.	Employment Record Cards (DCSF-718 or equivalent).	
	Employee record cards used for informational purposes outside personnel offices.	Destroy on separation or transfer of employee.
5.	Merit Staffing Case Files.	
	Consist of all documents used in the evaluation and selection of applicants under the provisions of the D.C. Merit Staffing Plan. Files may include: position description; vacancy announcement; job analysis documentation; ranking plan or citation; information used to develop ranking factors; record of actions taken under priority consideration referrals; Initial Screening Worksheet (DCSF-1210); rating material or notes; Selection Certificate (OP. 325); DCSF-171 (to be substituted by 171 REAFs, after issuance) and all other application material; a copy of OP. Form 1 for the selectee(s); a copy of Request for Personnel Action (DCSF-52); Post Card Notification to Applicants (DCSF-1204); and all other written material required by this plan. (See D.C. Personnel Manual, Appendix A, Section A-16(B), "Case file documentation").	Destroy 2 years following the date of selection or cancellation.
6.	Personnel Correspondence Files.	
	Correspondence, reports, memorandums, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere	Destroy when 3 years old.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
	in this schedule and records maintained at agency staff planning levels.	
7.	Offers of Employment Files.	
	Correspondence, letters, telegrams offering appointments to potential employees.	
	a. Accepted offers.	Destroy immediately.
	b. Declined offers.	Destroy after selection of another applicant or cancellation.
	c. All others.	Destroy immediately.
8.	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 nonpreference eligible.	Destroy when 2 years old.
9.	Position Classification Files.	
	a. Position Classification Standards Files.	
	(1) Standards and guidelines issued or reviewed by DCOP and used to classify and evaluate position within the agency.	Destroy when superseded or obsolete.
	(2) Memorandums, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and DCOP 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.

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	(2) All other copies.	Destroy when position is abolished or superseded.
	c. Survey Files.	
	(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.
	(2) Inspection, Audit and Survey Files. Correspondence, memorandums, 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.
10.	Employee Performance Rating Files.	
	Consist of Report of Performance Rating (O.P. Form 12) and related material as specified in the D.C. Personnel Manual, Chapter 14, Section 1.10.	
	a. All material relating to Outstanding or Unsatisfactory rating.	File as a permanent record in employee's Official Personnel Folder.
	b. Copy of "Satisfactory" or "Excellent" rating	Maintain as a temporary record in employee's Official Personnel Folder for 3 years or until superseded by another rating. Destroy.
	c. All other summary performance appraisals records, including job elements and standards upon which they are based and supporting documents.	Destroy 3 years after date of appraisal.
	d. Appeals Files.	
	Request for Review of Performance Rating (DCSF-1225) and related documentation concerning appeals of performance ratings.	Destroy 3 years after settlement of case.
11.	Temporary Individual Employee Records.	
	All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with D.C. Personnel Manual Chapter 31.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
12.	Position Identification Strips (DCSF-7D).	
	Strips used to provide summary data on each position occupied.	Destroy when position cancelled or new strip is prepared.
13.	Employee Awards Files.	
	a. General awards records.	
	(1) Case files including recommendations, approved nominations, memorandums, correspondence, reports and related handbooks pertaining to cash and non-cash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance awards.	Destroy 2 years after approval or disapproval.
	(2) Correspondence or memorandums pertaining to awards from other government agencies or private organizations.	Destroy when 2 years old.
	b. Length of Service and Sick Leave Awards Files.	
	Records including correspondence, memorandums, reports, computations of service and sick leave and list of award recipients.	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.
	d. Lists or Indexes to Award Nominations.	
	Lists of nominees and winners, and indexes of nominations.	Destroy when superseded or obsolete.
	e. Files relating to awards granted by the D.C. Awards Committee.	Destroy when 3 years old.
14.	Awards Program Records.	
	Reports, correspondence, and other records pertaining to the operation of the Awards Program.	Destroy when 3 years old.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
15.	Notification of Personnel Actions.	
	P. O. Form 1 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.
16.	Personnel Operations Statistical Reports.	
	Consists of Progress Reports (Standard Form 1227-A, B, and C; and FMS-620) and other statistical reports in the D.C. Personnel Office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	Correspondence and Forms Files.	
	Operating personnel office records relating to individual employees not maintained in OPF 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.	Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.	
	a. Supervisor's Personnel Files.	
	Correspondence, memorandums, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions. Requests for personnel actions, 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 or transfer.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
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.	Employee Performance File System Records.	
a.	Report of Performance Rating (O.P. Form 12).	Destroy when 3 years old.
b.	Performance-related records pertaining to a former employee.	Destroy when 3 years old or when no longer needed, whichever is sooner.
c.	All other summary performance appraisals, records, including job elements and standards upon which they are based and supporting documents.	Destroy 3 years after date of appraisal.
d.	Appeals Files.	
	Request for Review of Performance Rating (DCSF-1225) and related documentation concerning appeals of performance ratings.	Destroy 3 years after settlement of case.
20.	Financial Disclosure Reports.	
	See D.C. Code 1-1462 (1981 ed.)	
21.	Equal Employment Opportunity Records.	
a.	Official Discrimination Complaint Case Files.	
	Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, and copies of decisions, records of hearings and meetings, and related records.	Destroy 4 years after resolution of case within agency, by EEOC, or by U.S. court.
b.	Copies of Complaint Case Files.	
	Duplicate case files or documents pertaining to files retained in Official File Discrimination Complaint Case Files.	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.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
	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. Employment Statistics Files.	
	Employment statistics relating to race and sex.	Destroy when 5 years old.
	f. 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 later legislation; and agency EEO Committee meeting records including minutes and reports.	Destroy when 3 years old or when superseded or obsolete, whichever is applicable.
	g. 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.
	(3) Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.
	(4) Agency copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report.
22.	Personnel Counseling Records.	
	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.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
23.	Standards of Conduct Files.	
	Correspondence, memorandums, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.
24.	Labor Management Relations Records.	
	a. Labor Management Relations General and Case Files, excluding records of the EOM/Office of Labor Liaison. [Office of Labor Liaison records are covered by DCSCH85-3]	
	Correspondence, memorandums, 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.
25.	Training Records.	
	a. Training Aids.	
	(1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency.	Submit request for disposition authority to D.C. Archives.
	(2) Training aids from other agencies or private institutions.	Destroy when obsolete or superseded.
	b. General file of agency training.	
	(1) Correspondence, memorandums, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences. (Included are Training Forms 10A, 11, 11A, 11B, 11C; and DCSF 1207-A.)	Destroy when 5 years old or 5 years after completion of a specific training program.
	(2) Background and work papers.	Destroy when 3 years old.

ITEM	DESCRIPTION	AUTHORIZED DISPOSITION
c.	<p>Employee training.</p> <p>Correspondence, memorandums, reports, forms, and other records relating to the availability and employee participation in training programs offered by government or non-government sources. (Included are Training Forms 1, 1A, 2, and Form BE 2001.)</p>	<p>Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p>
d.	<p>Course Announcement Files.</p> <p>Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.</p>	<p>Destroy when superseded or obsolete.</p>
26.	<p>Grievance, Disciplinary and Adverse Action Files.</p>	
a.	<p>Grievance and Appeals Files.</p> <p>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.</p>	<p>Destroy 3 years after case is closed.</p>
b.	<p>Adverse Action Files.</p> <p>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 actions; and appeal records, excluding letters of reprimand.</p>	<p>Destroy 4 years after case is closed.</p>
27.	<p>Personal Injury Files.</p> <p>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 Official Personnel Folder and copies submitted to the Department of Labor.</p>	<p>Destroy when 5 years old.</p>