

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-GRS-93-003

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

## Description:

In Fiscal Year 2013, the GRS Team began a five year project to update and revise the General Records Schedules (GRS) under OMB/NARA M-12-18, Managing Government Records Directive. The old GRS was completely superseded.

See <https://www.archives.gov/records-mgmt/grs> for the revised GRS, crosswalks, faqs, tools, and other resources.

Date Reported: 4/2/2019

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 0 NI-GRS-93-3	DATE RECEIVED 3-24-93
1. FROM (Agency or establishment) Office of Personnel Management		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Administration Group, Office of Information Resources Management		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Plans and Policies Division, Information Policy Branch			
4. NAME OF PERSON WITH WHOM TO CONFER Brenda Hickey	5. TELEPHONE 703-908-8566	DATE FOR ARCHIVIST OF THE UNITED STATES 7/16/93	<i>Jamison Moore</i>

6. 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 on the attached 1 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE 3/22/93	SIGNATURE OF AGENCY REPRESENTATIVE <i>C. Ronald Trueworthy</i>	TITLE Chief, Information Policy Branch, Plans & Policies Div., OIRM, Admin. Group
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>Increase the disposition for performance-related records for non-SES appointees. OPM final regulations published in the Federal Register on December 17, 1991, at Title 5 of the Code of Federal Regulations, Parts 293 and 351 extends the period of time that agencies must keep performance ratings from 3 years to 4 years.</p> <p>1. <u>Employee Performance File System Records.</u></p> <p>a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).</p> <p>SEE ATTACHED</p> <p><u>Privacy Act Citation.</u></p> <p>OPM/GOVT-2.</p> <p>COORDINATION:</p> <p><i>Philip A. Schneider 3/8/93</i></p> <p>(Name, Title, Date)</p> <p>Philip A. D. Schneider Asst. Dir. for Workforce Information Personnel Systems and Oversight Group</p> <p><i>Copies sent to agency, grs file 7/28/93</i></p>	<p>GRS 1, item #23.</p> <p>NCI-GRS-82-2, item #23.</p>	

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
23.	<u>Employee Performance File System Records.</u>	
a.	Non-SES appointees (as defined in 5USC 4301(2)).	
(1)	Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.
(2)	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.
(3)	Performance-related records pertaining to a former employee.	
(a)	Latest rating of record <sup>4</sup> / <sub>3</sub> years old or less and 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.
(b)	All other performance plans and ratings.	Destroy when <sup>4</sup> / <sub>3</sub> years old or when no longer needed, whichever is sooner.
(4)	All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy <sup>4</sup> / <sub>3</sub> years after date of appraisal.
(5)	Supporting documents.	Destroy <sup>4</sup> / <sub>3</sub> years after date of appraisal or when no longer needed, whichever is sooner.

# Rules and Regulations

Federal Register

Vol. 56, No. 242

Tuesday, December 17, 1991

This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510. The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each week.

## OFFICE OF PERSONNEL MANAGEMENT

5 CFR Parts 293 and 351

### Reduction in Force Ratings for Retention-Longer Period to Credit Ratings; Clarification of Assignment Rights

**AGENCY:** Office of Personnel Management.

**ACTION:** Final rulemaking.

**SUMMARY:** The Office of Personnel Management (OPM) is issuing final retention regulations that will allow employees to receive retention service credit for performance ratings received during the 4-year period prior to the date the agency issues reduction in force notices. Under the applicable former regulations, employees received additional service credit for reduction in force purposes based on ratings received during the 3-year period prior to the date the agency issued specific reduction in force notices. The new regulations better ensure that employees competing for positions under OPM's reduction in force regulations receive credit for three actual annual performance ratings. These final regulations also make technical changes in how agencies (1) document the performance ratings that are used for retention purposes, (2) establish competitive areas that cover an Inspector General activity, and (3) offer temporary positions under OPM's reduction in force regulations.

**EFFECTIVE DATE:** January 16, 1992. For reduction in force actions effective after January 18, 1992, but before January 19, 1993, agencies may use either 5 CFR 351.504 in these final regulations, or the current 5 CFR 351.504 in 5 CFR part 351 (January 1, 1991, edition).

**FOR FURTHER INFORMATION CONTACT:** Thomas A. Clennon or Edward P.

McHugh, (202) 506-0960; FAX (202) 506-0390.

#### SUPPLEMENTARY INFORMATION:

##### Summary of Comments

On May 8, 1991, OPM published (at FR 21332) proposed regulations to revise 5 CFR part 351. These regulations proposed: (1) Extending the 3-year period for crediting performance ratings used for retention purposes to a 4-year period; (2) establishing separate competitive areas that cover an Inspector General function; and (3) limiting offers of assignment to temporary positions.

We received comments from seven agencies and one individual. Five agencies and the individual supported our proposal to base reduction in force service credit for performance upon a 4-year period rather than the present 3-year period. One agency did not support the proposal. In the final regulations, we extend the 3-year period to a 4-year period.

One agency also suggested that we publish conforming changes in 5 CFR part 293 (Personnel Records) at the same time that final 5 CFR part 351 regulations are published. We agree with this suggestion and have adopted it in the final regulations.

Two agencies suggested that we clarify that an agency must establish a separate competitive area for an Inspector General activity only if it is established under authority of the Inspector General Act of 1978 (Pub. L. 95-452), as amended. Again, we agree with this suggestion and have adopted it in the final regulations.

##### Implementation of New Reduction in Force Performance Rating Requirements

To minimize administrative difficulties, the new 4-year period for crediting performance ratings used for retention purposes is being phased in over a 1-year period. It must be applied to any action under 5 CFR part 351 that is effective on or after 1 year following the effective date of these final regulations. In the interim, agencies may use either these final regulations or the present regulations found in 5 CFR 351.504.

(1) Sections 293.404(a)(1) and 293.405(a) are revised to provide that agencies will generally retain performance ratings and supporting

documents for a minimum of a 4 years rather than 3 years. 11

(2) Sections 351.504(b) and 351.504(c) are revised to provide that an employee's entitlement to additional service credit for reduction in force purposes is based on the employee's three most recent annual performance ratings of record received during the 4-year period prior to the date the agency issues reduction in force notices. These final regulations also provide that, when a cutoff date is used, employees receive performance credit for retention purposes based on the three most recent annual ratings received during the 4-year period prior to the cutoff date. In addition, these regulations require that the awarding of additional service credit for reduction in force purposes must be uniformly and consistently applied by an agency, must be consistent with the agency's performance management system, and must be documented in the agency's performance appraisal system.

(3) Section 351.402(d) is added and states that each Inspector General office established under authority of the Inspector General Act of 1978 (Pub. L. 95-452) must be in a separate reduction in force competitive area that is established only for that office.

(4) Section 351.701(a) is revised to clarify longstanding OPM policy that promotion potential is not a consideration in determining whether an employee is offered assignment to another position, and an employee who accepts an offer of assignment retains the same status and tenure in the new position.

(5) Section 351.703 is revised to provide that an agency may waive qualifications in offering an employee assignment only to a vacant, rather than an occupied, position.

(6) Section 351.704(d) is added to prohibit an agency from offering a competing employee assignment to a temporary position except in lieu of separation by reduction in force. This revision provides that an agency may satisfy a nontemporary employee's right of assignment under the reduction in force regulations only by offering the employee a nontemporary position. Also, § 351.704(a)(2) is revised to clarify when an agency may offer a vacant other-than-full-time position to a full-time employee, or offer a full-time position to an other-than-full-time employee.

119