# Appendix — Records Control Schedules

## Introduction

**Description:** These Record Control schedules contain records retention and disposal information related to most of the records discussed in *the Employee and Labor Relations Manual* (ELM). Each record series listed should include the related papers and forms filed with it. The specific papers and forms mentioned in the series descriptions are illustrative but not all-inclusive. Some descriptions refer to forms that are obsolete. However, the forms were in use when retention and disposal authority was approved for those records. Therefore, the obsolete forms are still retained in the file, and they must be held in accordance with approved retention and disposal instructions.

Privacy Act systems of records are indicated by a numerical designation enclosed in parentheses (xxx.xxx) after the record series name. Descriptions of Privacy Act systems are contained in Handbook AS-353, *Guide to Privacy and the Freedom of Information Act.* Retention and disposal instructions for records and forms referenced in this manual can be found in the *Administrative Support Manual* (ASM), Section 89, Records Retention, or in the electronic Records and Information Management System (eRIMS) on the Intranet.

For records that may be stored at a Federal Records Center (FRC), the National Archives and Records Administration's (NARA) job approval number is also provided. For example, the record: NC1-28-XX-YY/ZZ means the following:

- **NC1** or **N1** is FRC's internal correspondence control symbol.
- **28** is the group of records to which all Postal Service records are assigned.
- **XX** is the fiscal year that retention and disposal instructions for the specific records series was submitted to NARA for approval.
- **YY** is the sequential number of the submission that fiscal year.
- **ZZ** is the sequential number of the records series on the records control schedule that was submitted to NARA for approval).

The official and approved name for the records series must be used when preparing XX for storage in a records center. Postal Service records control numbers (e.g., ACBX.00.03) are also shown. These numbers correspond with the numbers assigned under the RIMS operated by the Records Office. These numbers are used for internal Postal Service identification purposes only.

**Disposal:** Disposal procedures are described in ASM 895.3.

**Cutoff:** The cutoff is the date, period of time (e.g., weekly, A/P, monthly, or annually) or event after which a file should be closed to allow the orderly transfer to storage and ultimate disposal of a series of rcanceledecords. If no cutoff date is indicated, the series is cut off annually at December 31.

**Questions:** For questions concerning the records control schedules, contact:

RECORDS OFFICE
US POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5010

# General Records

## Program Administration

**1. Correspondence Files.**

a. Subject files.

**Arrangement:** Alphabetically, by subject.

**Description:** Used to retain a record of the daily operations and administration of an office and to provide reference to current subjects.

Cut off this file each calendar year; screen and bring forward current material; dispose of 1 year from the date of cutoff.

**NC1-28-78-6/6a**
**ACBX.00.03**

b. Information Copies.

All other correspondence and forms, reports, work papers, lists that accumulate in the performance of office housekeeping not filed by subject and not related to specific programs, projects, or investigative matters, and concerning matters for which other offices have primary responsibility.

Cut off this file each calendar year; dispose of 1 year from the date of cutoff.

**NC1-28-78-6/6b**
**ACBX.00.04**

c. Correspondence case files pertaining to specific programs or projects.

If maintained separately from the program or project case file, move to an inactive file upon completion of the program or project, and dispose of when 2 years old. Otherwise, dispose of along with the program or project files.

**NC1-28-78-6/6c**
**ACBX.00.05**

2. **Reference Files.**

**Description:** Copies of documents that duplicate record copies filed elsewhere, documents that require no action, drafts, notes, feeder reports and other such papers, studies, and all documents related to the job.

Dispose of when superseded or no longer required for reference, whichever is sooner.

**NC1-28-78-6/3**
**ACBX.00.01**

3. **Working Files.**

**Arrangement:** Alphabetically, by subject.

**Description:** Preliminary or rough drafts, notes, and other materials maintained for use in the development of a final product.

Dispose of when obsolete or no longer needed.

**NC1-28-77-1/2**
**ACBX.00.02**

4. **Speech Files.**

**Arrangement:** Alphabetically, by subject matter and cross-indexed by speaker's name.

**Description:** Invitations to speak, schedules, drafts, work papers, artwork, and related correspondence.

a. Record copy of key speeches by senior USPS executives, concerning substantive issues such as policy, organizational, and procedural changes.

Permanent. Cut off the file each 3 calendar years; transfer to FRC when 2 years old; offer to National Archives when 10 years old.

**NC1-28-78-6/5a**
**ACBX.00.06**

b. Reference copies of speeches, work papers, and schedules.

Dispose of when 1 year old.

**NC1-28-78-6/5b**
**ACBX.00.07**

c. Other speeches and related materials.

Dispose of when there is no further reference administrative value.

**NC1-28-78-6/5c**
**ACBX.00.08**

## Office Administration

5. **Chronological, Reading, or Circulating Files.**

**Arrangement:** Chronologically, by date, without regard to subject.

**Description:** Copies of all types of communications. The communications in these files are copies of those filed elsewhere by subject or case.

***Note:*** This item does not apply to the reading files of the Postmaster General.

Cut off this file each calendar year; dispose of 1 year from the date of cutoff.

**NC1-28-78-6/4**
**ACCX.00.01**

6. **Shorthand, Stenographic, and Word Processing Materials.**

**Description:** Shorthand notes, stenographic notebooks, stenographic tapes, magcards, cassettes, and diskettes.

Dispose of shorthand and stenographic materials when notes have been transcribed; erase magnetic media when information contained thereon is no longer required for current operations.

**NC1-28-77-1/5**
**ACCX.01.01**

7. **Duplicating Materials.**

**Description:** Stencils, photographic plates, paper mats, etc.

Dispose of when no longer needed for duplicating purposes.

**NC1-28-77-1/6**
**ACCX.00.03**

8. **Accountable Property Records (110.010).**

**Description:** Records that are used for controlling issuance of accountable property such as equipment, credentials, and documents to individuals.

**Sample Form:** PS 296

Return to individual when accountability is terminated.

**NC1-28-80-3/4**
**ACCX.03.01**

9. **Nonrecord Copies of USPS Publications, Releases, and Other Issuances.**

**Description:** Extra or obsolete copies of such publications as the Headquarters telephone directory, regulations, instructions, manuals, guidance letters, copies of documents, reports, studies, publications or documentation from other government agencies or organizations not in current use, legislative publications and documents such as congressional directories, congressional records, legislative hearings, appropriations hearings, and the Federal Register.

Dispose of when superseded or no longer needed in current operations, whichever is sooner.

**NC1-28-77-1/7**
**ACCX.00.05**

# Employee and Labor Relations Records

***Note:*** See Key Word Index at the end of this Appendix to locate records series information by item number.

## Personnel Planning

### Position Management

**1. Memorandum of Authorization.**

**Arrangement:** Numerically, by reference code number.

**Description:** The memorandum is evidence that a position has been authorized to a certain organizational element or that an organizational unit has been established or changed.

a. Record copy.

Move to deletion file when position is no longer authorized. Cut off this file each calendar year; dispose of 10 years from date of cutoff. Do not transfer to FRC.

**NC1-28-79-4/92a**
**EABC.03.01**

b. All other copies.

Dispose of when no longer needed.

**NC1-2-79-4/92b**
**EABC.03.02**

### Affirmative Action

**2. Work Force Profile Statistics Files.**

**Description:** Statistics relating to race and sex of career employees, including postmasters, craft, promotions, accessions, and separations. Reports include quarterly work force profiles, goal monitoring reports.

**Use:** To monitor progress of minority employees and affirmative action goals.

a. Field copies.

Cut off this file each calendar year; dispose of 5 years from date of cutoff by shredding or burning.

**NC1-28-79-4/77**
**EADA.23.01**

b. Headquarters copies.

Cut off this file each fiscal year; transfer to FRC when 10 years old; dispose of 15 years from date of cutoff by shredding or burning.

**N1-28-86-2/26**
**EADA.23.02**

**3. Equal Employment Opportunity (EEO) — General Files.**

**Description:** General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, the Rehabilitation Act of 1973, and any pertinent future legislation; and USPS EEO Committee meetings and records including minutes and reports.

a. Field copies.

Cut off this file each fiscal year; dispose of 3 years from date of cutoff. Do not transfer to FRC.

**N1-28-86-2/27a** (Replaces NC1-28-79-4/78)
**EADX.00.01**

b. Headquarters copies.

Cut off this file each fiscal year; retain copies of such documents permanently in order to maintain a historical record for the Postal Service. Do not transfer to FRC.

**N1-28-86-2/27b**
**EADX.00.02**

**4. Equal Employment Opportunity (EEO) — Affirmative Action Plans (AAP). Includes Affirmative Action Plans for handicapped individuals and disabled veterans.**

a. Record copy of consolidated Affirmative Action Plans.

(1) Field copies.

Cut off each fiscal year. Dispose of 10 years from date of the plan.

**EADX.11.01**

(2) Headquarters copies.

Cut off each fiscal year. Maintain copies of national plans for 15 years. Dispose of by burning or shredding.

**N1-28-87-4/8A (2)**
**EADX.11.02**

b. Office copies or feeder plans. Statistics for consolidating Affirmative Action Plans.

Dispose of 5 years from date of the plan or when administrative purposes have been served, whichever is sooner.

**N1-28-87-4/8B**
**EADX.11.03**

**5. Equal Employment Opportunity (EEO) — Reports.**

**Description:** Copies of statistical reports to Equal Employment Opportunity Commission. Information in the reports consists of minority census data for regions and Headquarters, EEO inventory data, and other statistical analyses.

Cut off this file each fiscal year; dispose of 5 years from date of cutoff. May be retained beyond 5 years at Headquarters level, if deemed appropriate. Do not transfer to FRC.

**NC1-28-79-4/80**
**EADX.25.01**

6. **Equal Employment Opportunity (EEO) — Staff Directory.**

**Description:** Directory of EEO counselors/investigators and AA/EEO program coordinators and EEO service center personnel.

Dispose of when superseded.

**NC1-28-79-4/81**
**EADX.00.03**

7. **Women's Program — Statistical Reports.**

a. Annual reports.

**Description:** Statistical reports including workforce profiles, promotions, accessions, and separations.

Cut off each fiscal year. Dispose of 15 years from date of report by burning or shredding.

**EADC.23.01**

b. Quarterly or special reports.

Cut off the report file each fiscal year. Dispose of 1 year from date of cutoff.

**NC1-28-79-4/85b**
**EADC.23.02**

8. **Women's Program — Applications and Resumes.**

**Arrangement:** Alphabetically, by last name of applicant.

**Description:** Copies of resumes and job applications (PS Form 991) from women seeking a position with the USPS, exclusive of copies maintained elsewhere within the USPS.

Destroy after 1 year on file.

**NC1-28-79-4/86**
**EADC.03.01**

# Employment Administration

## Recruitment

9. **Outside Applicant Files — Nonbargaining-unit Positions.**

**Arrangement:** Case files, alphabetically, by name of applicant, within job title or code.

**Description:** Correspondence, reports, working papers, resumes, applications, and other material pertaining to the operation and administration of recruitment and employment functions.

a. Case files on vacant positions.

Cut off file when position is filled or announcement is cancelled. Dispose of 6 months from date of cutoff.

**EBBX.12.08**

b. Successful applicant files (120.151).

Move PS Form 50B or PS Form 52, as appropriate, to the OPF. Cut off file when position is filled. Dispose of all other forms and papers 6 months after cut off.

**NC1-28-79-4/24b**
**EBBX.12.07**

c. Unsuccessful applicant files (120.151).

Cut off file when position is filled. Dispose of 6 months after cutoff.

**EBBX.12.06**

d. List of active applicants (120.151).

Dispose of when no longer of value.

**NC1-28-79-4/24d**
**EBBX.26.01**

## Selection

**10. Vacancy Selection Files.**

**Arrangement:** Case files, numerically, by announcement number.

**Description:** Vacancy announcement, application for promotion or assignment, promotion report, position description, and other supporting correspondence such as waiver authorization; if applicable, review committee's recommendation memorandum, copies of letters to all nonselected applicants, and copy of offer letter to selectee.

**Sample Forms:** PS 990, 991, 5938.

Move to a closed file when selection has been made. Cut off this file each calendar year. Dispose of 2 years from date of cutoff.

**EBBX.12.02**

**11. PCES Application for Candidacy.**

**Arrangement:** Alphabetically, within year of application.

**Description:** Application and other documents submitted by candidates for PCES Program. Includes screening sheet, group discussion and individual ratings, feedback summary, overall evaluation, executive evaluation panel's recommendation.

**Sample Forms:** PS 991, 992A, 992B, 2451A

a. Recommended candidates. Dispose of 3 years after expiration of eligibility.

**EBEB.03.01**

b. Not Recommended candidates. Cut off the file upon determination of unsuitability; dispose of 3 years from date of cutoff.

**EBEB.03.02**

**12. Vacancy Files.**

**Arrangement:** Numerically, by vacancy announcement number.

a. Vacancy case files maintained by the personnel office.

**Description:** Information such as the vacancy announcement, standard position description, names, position titles, and grades of all review committee members; applications; review committee's recommendations memorandum to the selecting official signed by all committee members; copies of letters of nomination and letters to all disqualified and nonselected candidates; and name of candidate selected.

**Sample Forms:** PS 991, 991A, 991B.

Cut off the file upon selection; dispose of 2 years from date of cutoff.

**NC1-28-79-4/28a**
**EBBD.12.01**

b. Notes made by individual review committee members to assist in evaluating candidates.

**Description:** Such notes are considered the property of the committee member and not records of the USPS. They are not to be circulated among other committee members, other USPS personnel, nor are they to be included in the vacancy case file.

Dispose of immediately after they have served their purpose.

**NC1-28-79-4/28b**
**EBBD.00.01**

c. Vacancy Announcement Files.

**Description:** These files are located in the Human Resources Group. They result from announcements of vacancies throughout the USPS.

Move to a closed vacancy announcement file when vacancy has been filled. Cut off this file each calendar year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/28c**
**EBBD.12.02**

**13. Postmaster Selection.**

a. Card Files.

**Arrangement:** Alphabetically, by post office name.

**Description:** 3x5 cards that record the succession of postmasters at a particular post office, showing status as postmaster, acting postmaster, or officer-in-charge. Also recorded are dates of appointments and terminations and reasons therefor. These cards replaced the Register of Appointments in 1971 and were superseded in October 1986 by the Automated Postmaster Tracking System.

Dispose of when data entry has been verified as correct.

**EBBX.03.01**

b. Appointment List.

**Arrangement:** Numerically and by effective date of appointment list.

**Description:** Postmaster selection appointment lists and minutes.

Cut off the file each calendar year; dispose of 6 years from date of cutoff.

**NC1-28-79-4/30b**
**EBBX.00.01**

c. Complaint or Inquiry Files.

**Arrangement:** Chronologically or by subject.

**Description:** Correspondence created in conjunction with inquiries from the public, employees, contractors, business firms, or Congress regarding the USPS, its personnel, policies, relationships, or any other aspect of the Postal Service as regards postmaster selection.

Cut off these files each calendar year; dispose of 5 years from date of cutoff, or when no longer of value for reference, whichever is sooner.

**NC1-28-79-4/32**
**EBBX.11.02**

d. Selection Case Files — Record Copy.

**Arrangement:** Case files alphabetically by vacancy location.

**Description:** Selecting official's recommendation, review committee's recommendations, comparative analysis and narrative evaluation of the applicants recommended, copy of vacancy announcement, information on the vacant office and applications of other candidates not recommended and other pertinent information.

Move to closed selection file after each selection is made. Do not send to FRC. Cut off this file each calendar year. Dispose of 2 years from date of cut off unless an audit, investigation, or appeal is pending.

**EBBX.12.09**

**14. Preemployment Investigative Records (120.110).**

**Arrangement:** Alphabetically, by name of applicant.

**Description:** Character references, local police records, drug history records, and other investigative reports such as National Agency Check and Inquiry (NACI). Includes PS Form 2591 of individuals not selected for employment.

**Use:** To determine suitability for employment by USPS. These records are exclusive of records filed in the Official Personnel Folder (OPF).

Retain for 5 years from the date the employee is initially found suitable for employment or 5 years from the date action was taken to deny or terminate employment. Send to the appropriate Federal Records Center (FRC) for an additional 5-years retention period.

**EBBX.12.03**

**15. Equal Employment Opportunity (EEO) — Staff Selection Records (030.020).**

**Arrangement:** Case files, alphabetically, by name of applicant.

**Description:** Postings or bulletin notices announcing position, narratives, resumes, and interviews.

**Use:** To certify all EEO staff selections as consistent with OPM regulations and public law.

**Sample Forms:** PS 2591, 2497, 991, 442, and 1814.

Move to an inactive file when position becomes vacant. Cut off this inactive file each calendar year; dispose of 3 years from date of cutoff.

**NC1-28-79-4/82**
**EBBX.12.04**

**16. Employment Registers (120.151).**

**Description:** A series of 3 cards containing such information as name of applicant, post office name, Social Security number, date of examination, and final rating.

a. Notice of rating card.

Forward to applicant.

**NC1-28-79-4/26a**
**EBBB.00.01**

b. Record card.

**Arrangement:** Alphabetically, by name of applicant. Used to form a locator system. Transfer to FRC along with corresponding numerical card. See c below.

**NC1-28-79-4/26a**
**EBBB.03.01**

c. Register card.

**Arrangement:** Numerically, by veteran preference and numerical rating.

**Description:** Applicant name, post office name, Social Security number, date of exam, and final rating.

**Use:** To develop hiring worksheets, reports, and audits of the hiring process. The reverse of this card is a chronological record of the eligible's consideration and referrals in the selection process.

Move to an inactive file upon hiring, declining of an offer, if USPS unable to locate eligible for a job offer, or upon expiration of eligibility (2 years). Screen the inactive file every 5 years; match cards that are 5 years old or more with corresponding card from the alphabetical file; transfer to an FRC. Dispose of when 10 years old.

**NC1-28-79-4/26c**
**EBBB.03.02**

**17. Applications for Employment (120.151).**

**Arrangement:** Alphabetically, by title of examination, in descending grade (test score) order, within examination.

**Description:** Employment applications submitted to post offices in response to vacancy announcements. The applications contain such information as name of applicant, employment background, Social Security number, address, and other personnel data.

**Sample Form:** PS 2591.

Dispose of upon expiration of eligibility. (Eligibility expires 2 years from the date of entrance on register, unless extended for an additional year at the request of the eligible.)

**NC1-28-79-4/25**
**EBBX.03.03**

**18. Personnel Research and Test Validation Records.**

**Arrangement:** Chronologically, by date of examination, batched by type of exam, or by research project identifier.

**Description:** Personnel research and test validation records may contain applicant and research demographic data; project identification codes; responses to or evaluation of, personnel assessment instruments; responses to organizational questionnaires; and other applicant or research subject work-related data. Reports generated contain aggregate statistics only.

a. Hard copy.

Move batch to a closed file upon processing. Cut off this file monthly. Dispose of 6 months from date of cutoff.

**EBBA.03.01**

b. Magnetic tape.

Maintain for 30 years. Do not transfer to FRC.

**EBBA.30.01**

**19. Employee Assistance Program (EAP), Coordinator/Specialist Applications, and Interviews (120.140).**

**Arrangement:** Alphabetically, by name within location.

**Description:** Resumes, applications, and interview forms for EAP counselor positions.

Dispose of 1 year from date of application.

**NC1-28-79-4/36**
**EBBX.12.05**

## Placement

**20. Employee Bidding Records (Bid for Preferred Assignment) (120.040).**

**Arrangement:** Numerically, by seniority, within job number.

**Description:** Employee name, SSN, seniority, job title, and information on qualifications such as schemes and driving.

**Use:** To match vacant positions and qualified candidates. (Article 37, National Agreement.)

**Sample Form:** PS 1717.

Move to a closed file when vacancy is filled. Cut off this file monthly; dispose of 6 months from date of cutoff. (Where records become part of a grievance case file, dispose of with the case file.)

**NC1-28-79-2/1**
**EBCX.03.01**

**21. Applications for Master Instructor Positions (120.151).**

(Positions are with Managerial Training System (MTS) – a formal job-related program for USPS supervisors in selected occupation codes.)

**Arrangement:** Case files, alphabetically, by functional area.

**Description:** Application forms, estimates of potential, notes, and recommendations.

**Sample Forms:** PS 2591

Cut off the files with each selection; dispose of 3 years from date of cutoff.

**N1-28-86-2/28** (Replaces NC1-28-79-4/47)
**EBCX.12.01**

## Development

**22. Management Training Program Records (120.152).**

**Arrangement:** Case files, alphabetically, by name of trainee.

a. Trainee's individual files.

**Description:** Copies of personnel actions, certificates, and other material found in the OPF.

Move to a closed file when trainee leaves the program. Cut off this file each calendar year; dispose of 5 years from date of cutoff.

**NC1-28-79-4/33a**
**EBDX.12.01**

b. Trainee travel files.

**Description:** Copies of travel advances, vouchers, and supporting records such as bills for lodging, car rentals, and other receipts.

Move to a closed file when trainee leaves the program. Cut off this file each calendar year; dispose of 1 year from date of cutoff.

**NC1-28-79-4/33b**
**EBDX.12.02**

c. Travel files of postal managers in connection with the program.

**Arrangement:** Alphabetically, by name of manager.

Cut off this file each calendar year. Dispose of 1 year from date of cutoff.

**NC1-28-79-4/33c**
**EBDX.12.03**

**23. Nominations for Executive Leadership Files (120.152).**

**Arrangement:** Alphabetically, by name.

**Description:** Nominations, recommendations, and other related documents.

Move to a closed file upon selection. Cut off this file each calendar year; dispose of 1 year from date of cutoff.

**NC1-28-79-4/51**
**EBDX.12.04**

## Evaluation

**24. Merit Performance Evaluation File (120.153).**

**Arrangement:** Case files, alphabetically, within fiscal year, by organizational unit.

**Description:** Audit sheets, performance ratings, self-appraisals, statements of goals and objectives, and related correspondence.

**Sample Forms:** PS 2452A, 2452B, 2452C, 2456.

Cut off the file each fiscal year; dispose of 5 years from date of cutoff.

**N1-28-86-2/29** (Replaces NC1-28-79-4/94a)
**EBEC.12.01**

## Employee Complaints

**25. Equal Employment Opportunity (EEO) Discrimination Complaint Cases.**

a. Precomplaint counseling (030.010).

**Arrangement:** Alphabetically, by name.

**Description:** EEO counselor files of informal employee discrimination complaints.

**Use:** In resolution of EEO complaints before formal complaints are filed.

Move to a closed file upon final adjustment at the counselor level or when a formal complaint is filed. Cut off this file each calendar year; dispose of 1 year from date of cutoff. Do not transfer to FRC.

**N1-28-86-2/30a** (Replaces NC1-28-83-2/35a)
**EBFD.12.04**

b. Official complaint file (030.010).

**Arrangement:** Case files, alphabetically, by name, within location.

**Description:** Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222.

**Use:** To process EEO complaints.

Move to a closed file upon resolution. Cut off this file each calendar year; dispose of 4 years from date of cutoff.

**NC1-28-83-2/35b** (Replaces NC1-28-79-4/72)
**EBFD.12.01**

c. Appeal case files (030.030).

**Arrangement:** Alphabetically, by name.

**Description:** Cases appealed to the Equal Employment Opportunity Commission. Includes Inspection Service cases appealed to the Commission.

Move to a closed case file upon final decision. Cut off this file each calendar year; dispose of 4 years from date of cutoff.

**NC1-28-83-2/35c**
**EBFD.12.02**

d. Copies of official complaint files (030.010).

Dispose of 1 year after resolution of case. Do not transfer to FRC.

**N1-28-86-2/30b**
**EBFD.12.03**

e. Selected appeals case files (030.030).

**Arrangement:** Alphabetically, by name.

**Description:** Selected case files that reflect new or unusual precedents related to EEO, which are useful for training or reference purposes.

Move to an inactive file upon final decision. Cut off this file each calendar year; maintain in office; dispose of 4 years from date of cutoff, or when they have no further use for reference, training, or similar purpose, whichever is longer. Do not transfer to FRC.

**N1-28-86-2/30c**
**EBFD.12.05**

**26. Equal Employment Opportunity (EEO) Background Files (030.010).**

**Arrangement:** Alphabetically, by name of complainant.

**Description:** Background records not filed in the official discrimination complaint case files.

Move to a closed file upon final decision. Cut off this file each calendar year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/74**
**EBFD.00.01**

**27. Equal Employment Opportunity (EEO) — Class Complaint Litigation Files (030.010, 030.030).**

**Arrangement:** Alphabetically, by complainant name.

**Description:** Copies of documents used by the Postal Service in litigating an EEO discrimination class complaint. Includes copy of the formal complaint, depositions, interrogatories background material, memoranda, and a copy of the settlement agreement or final court order.

Move to a closed file upon final adjudication, cut off the closed file each calendar year. Transfer to FRC 3 years after cutoff. Dispose of 20 years from date of cutoff.

**EBFD.12.06**

## Disciplinary/Adverse Actions

**28. Adverse Actions, Discipline, Grievances, and Appeals of Nonbargaining-Unit Employees (120.036).**

**Arrangement:** Case files, alphabetically, by employee name.

**Description:** Notice of proposed action, reply, summary of oral reply, employee notice of appeal, hearing proceedings, appeal decisions, notice of actions, investigative reports, and related records, decisions, and papers resulting from appeals to the Merit Systems Protection Board.

**Use:** To document grievance and appeal procedures for employees not covered by a collective-bargaining agreement.

Move to a closed case file upon receipt of final decision. Cut off this file each calendar year; transfer to FRC 3 years after cutoff; dispose of 7 years from date of cutoff.

**N1-28-86-2/31** (Replaces NC1-28-83-2/32)
**EBHX.12.02**

**29. Merit Systems Protection Board (MSPB) Decisions (120.230).**

a. Initial Decision.

**Arrangement:** Alphabetically, by MSPB Regional Office and, within office, alphabetically by appellant name.

**Description:** Copies of initial decisions from MSPB Regional offices on appeals of agency decisions. Includes name of appellant, case number, analysis and findings, and decision.

Cut off the file each calendar year; dispose of 5 years from date of cutoff.

**EBFD.03.01**

b. Final orders and related records.

**Arrangement:** Alphabetically, by appellant name.

**Description:** Copies of MSPB initial decision, appellant's petition for review, cross-petitions, responses, hearing transcripts, and briefing papers.

**Use:** To support the Postal Service position before the MSPB concerning adverse actions and restoration to duty decisions.

Move to a closed file upon final decision. Cut off the closed file each calendar year; dispose of 10 years from date of cutoff.

**EBFD.12.07**

**30. Adverse Actions Appeals (120.230).**

**Arrangement:** Case files, alphabetically, by name of litigant.

**Description:** Copies of original adverse actions, discipline, grievance, and appeals case files of nonbargaining-unit employees. They concern employees involved in veteran's appeals and other adverse action appeals. Files also contain formal pleadings, memorandums of law, and other relevant documents such as case notes, case analyses, and telephone records.

Move to a closed file upon final decision. Cut off this file each calendar year; transfer to FRC when 3 years old; dispose of 7 years from date of cutoff.

**N1-28-86-2/32** (Replaces NC1-28-83-2/33)
**EBHX.12.01**

**31. Logs or Indexes of Disciplinary and Contract Grievances, and Adverse Action Cases.**

Maintain and dispose of with the records to which they pertain.

**NC1-28-83-2/34**
**EBHX.26.01**

# Health and Employee Services

## Safety

**32. Reports and Records (Headquarters — Safety Performance Management)**

**Arrangement:** Headquarters, Area, Cluster, District, Plant, local; by accounting period, month, or annually.

**Description:** PS Form 1769; OSHA Form 300, *Log of Work-Related Injuries and Illnesses;* OSHA Form 300A, *Summary of Work-Related Injuries and Illnesses;* and OSHA Form 301, *Injury and Illness Incident Report.*

**Use:** Meet statutory and internal recordkeeping requirements

Cut off this file each calendar year; transfer to FRC 3 years after cutoff; dispose of 5 years from date of cutoff.

**N1-28-86-2/33** (Replaces NC1-28-83-2/11)
**ECAE.00.01**

**33. PS Form 1769, Accident Report (ELRIC)**

**Description:** PS Form 1769 is completed by the supervisor and sent to the supporting Safety Office for entry into the Human Resources Information System (HRIS).

**Use:** To enter accident data into Postal Service Accident Reporting System.

Cut off this file each calendar year; transfer to FRC 3 years from date of cutoff; and dispose of 5 years from date of cutoff.

**N1-28-88-5/2**
**ECAE.01.01**

**34. Accident Report Records (Local)**

**Arrangement:** Chronologically by installation or name of injured employee.

**Description:** Records pertaining to local accidents. These reports pertain to all types of accidents, including fire, motor vehicles, customer on property, and industrial.

**Use:** To meet statutory requirements under OSHA 1904. Also used to access and analyze accident trends and accident cost.

**Sample Forms:** PS Form 1769 and OSHA 301.

Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff. Do not transfer to FRC.

**N1-28-86-2/34**
**ECAE.00.02**

**35. Fatality/Serious Accident Investigative Boards and Reports**

**Arrangement:** Chronologically by installation or name of injured employee.

**Description:** Investigations of fatalities and serious accidents, which include findings, reviews of actions taken, and recommendations.

**Use:** Accident investigation and prevention.

Cut off this file each fiscal year; transfer to FRC when 3 years old; dispose of 6 years from date of cutoff.

**N1-28-86-2/35** (Replaces NC1-28-83-2/12)
**ECAE.00.03**

**36. Vehicle Accident Investigation and Tort Claims Records (Maintained by Tort Claims Administration)**

**Arrangement:** Case files, numerically, by accident case number, by fiscal year.

a. Case files.

**Description:** Records that result from a claim being filed that alleges personal injury or damage that exceeds $10. Also consists of driver's accident report, investigation worksheet, statements of witnesses, analyst report, correspondence, summary of claims, examiner's report showing disapproval or award of damages.

**Use:** For investigation, adjudication, and litigation.

**Sample Forms:** SF 91, 94, and 95; PS 1700, 1769, 1902, 2106, 2198, 4523, 4570, and 4586.

Move to a closed accident investigation case file upon award or disapproval. Cut off this file each fiscal year; dispose of 6 years from date of cutoff.

**NC1-28-83-2/47**
**ECAE.03.01**

b. Other vehicle accident case files.

**Description:** Where damages are under $10.00, where no claim is filed, or where there is no damage or injury.

Cut off the file each fiscal year; dispose of 5 years from date of cutoff.

**NC1-28-83-2/47a**
**ECAE.03.02**

**37. Safety Program Evaluation Records, Inspection Checklists, and Other Administrative Papers**

**Arrangement:** Program evaluation records in terms of data and reports are maintained in the Safety Toolkit database. Safety personnel enter program evaluation findings into the Safety Toolkit application. Chronologically by date.

**Description:** Facility program evaluation data is provided in a variety of report formats in the Safety Toolkit. Reports focus on implementation and performance of facility safety and health programs in seven major categories and 24 subcategories. Inspection reports on deficiencies, safety hazards, and other types of safety inspections, including any logs.

**Use:** To determine safety program performance, identify program elements that need improvement, and suggest alternatives for improvement, program effectiveness, and detecting potential causes of accidents.

**Sample Forms:** Program evaluation checklists available electronically in the Safety Toolkit or from the Safety Resources Page. PS Forms 1767 and 1773.

Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff.

**NC1-28-83-2/13**
**ECAB.00.01**

**38. Safety and Health Inspections Records**

**Arrangement:** Safety and Health inspection records in terms of data and reports are maintained in the Safety Toolkit database. Safety personnel enter inspection findings into the Inspections Module of the Safety Toolkit application.

**Description:** The Safety Toolkit Inspections Module provides a wide variety of reports on the identification of deficiencies (safety hazards), provides timelines for hazard abatement, and enables responsible personnel to track and verify the status of hazard abatement activities.

**Use:** To identify safety and health deficiencies in facilities and track the correction of these deficiencies.

**Sample Forms:** Safety and Health inspection checklists are available electronically in the Safety Toolkit and from the Safety Resources Page.

Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff.

**39. Employee Report of Hazard, Unsafe Condition or Practice**

**Arrangement:** Employee reports are entered in the Safety Toolkit Hazard Log Module or maintained chronologically in hard copy at Postal Service facilities.

**Description:** The Safety Toolkit Hazard Log Module provides a variety of reports based upon the data entered in response to employee reports of hazards. Facilities that do not use the Safety Toolkit maintain copies of PS Form 1767 and report summary data on PS Form 1773, *Hazard Log.*

**Use:** To provide a mechanism for employees to report workplace hazards and for management to track and ensure abatement of the hazards reported.

**Sample Forms:** PS Forms 1767 and 1773.

Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff.

**NC1-28-83-2/47b**
**ECAE.26.01**

**40. Occupational Safety and Health Administration Inspection Reports and Letters Concerning Corrections of Violations**

**Arrangement:** Chronologically by citation or complaint number. Files are maintained at the supporting District/PC Safety Office and Legal Office.

**Description:** OSHA citations, employee complaint letters referred by OSHA to the Postal Service, supporting documents, and all correspondence of a legal nature between the Postal Service and OSHA. Letters concerning corrections of violations, copies of hazard correction lists, notices of unsafe or unhealthy working conditions, complaints, findings, names of persons participating, notes, and other documentation.

**Sample Form:** OSHA-2H.

**Use:** To document compliance with OSHA procedures and to document abatement of hazards identified in citations and employee complaints referred to the Postal Service by OSHA. Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff.

**NC1-28-83-2/14**
**ECAA.00.01**

**41. Accident Analyses and Studies**

**Arrangement:** Chronologically.

**Description:** Studies, other statistical reports, and analyses.

**Use:** To study accident trends, make comparisons, identify, and correct accident causes.

**Sample Form:** None

Move to a closed file when study or analysis is complete. Cut off this file at end of each fiscal year; dispose of 6 years from date of cutoff.

**NC1-28-83-2/15**
**ECAE.23.01**

**42. Mail Piece Spill or Leak Incident Reports, PS Form 1770**

**Arrangement:** Chronologically.

**Description:** Information describing the type of incident, packaging, and damage assessment.

a. Local offices.

**Sample Form:** PS Form 1770 (original).

**ECAE.00.07**

b. Headquarters (Aviation Mail Security, Safety Performance Management, and Environmental Management Policy).

**Use:** To develop incident statistics and trends.

**Sample Form:** PS Form 1770 (copies).

**ECAE.00.08**

c. Local Inspector-in-Charge.

**Use:** For necessary follow-up action on incidents.

**Sample Form:** PS Form 1770 (copy).

**ECAE.00.09**

Cut off the file at end of each fiscal year; dispose of 6 years from date of cutoff.

**43. Safety Inspection Reports by the Postal Service Office of Inspector General (OIG), Inspection Service, or the Government Accountability Office (GAO)**

**Arrangement:** Chronologically.

**Description:** Reports of inspections of the Postal Service Safety Program and Postal Service facilities by the Postal Service OIG, OSHA, GAO, the Postal Service Inspection Service, or the safety staff.

**Use:** As a basis for evaluation of and improvement of the Postal Service Safety Program.

Cut off the file each fiscal year; dispose of 3 years from the date of cutoff. Do not transfer to FRC.

## Medical

**44. Employee Exposure Records (Air Sampling Surveys in Facilities).**

**Description:** Analyses of employee exposure records and surveys and records of environmental monitoring of the facility. These records relate to facility air sampling/monitoring and do not contain individually identifiable employee records.

Cut off the file each calendar year; dispose of 30 years from the date of cutoff.

**ECAA.00.02**

**45. Employee Assistance Program (EAP) History Record Card.**

**Arrangement:** Alphabetically, by client's name.

**Description:** Client information found on PS 2545.

**Use:** To track status, study history, and to establish and update individual records.

a. History Record Card (120.140).

Move to a closed file when case is closed. Cut off this file each calendar year; dispose of 25 years from date of cutoff. Do not transfer to FRC.

**N1-28-88-1/10** (Replaces NC1-28-79-4/38a and NC1-28-79-4/40)
**ECBD.03.05**

b. History Record Card (ELRIC copy).

**Arrangement:** Chronologically, by date of entry (daily batch method).

Dispose of after second reporting cycle.

**N1-28-88-1/11** (Replaces NC1-28-79-4/38b)
**ECBD.01.01**

**46. Employee Assistance Program (EAP) Correspondence and Reports.**

**Arrangement:** Alphabetically, by installation.

**Description:** General correspondence and reports, such as the Accounting Period Activity Report.

**Use:** For administering the EAP Program.

**Sample Form:** PS 2546.

Cut off the file each calendar year; dispose of 3 years from date of cutoff.

**N1-28-88-1/8** (Replaces NC1-28-79-4/39a and NC1-28-79-4/39b)
**ECBD.11.03**

**47. Employee Assistance Program (EAP) Case Number Assignment Sheets.**

**Arrangement:** Chronologically.

**Description:** Master sheets for the assignment of case numbers, and other personnel data for control and tracking.

a. Master file.

Move to a file of completed assignment sheets when last entry is made. Cut off this file each calendar year; dispose of 25 years from date of cutoff. Do not transfer to FRC.

**N1-28-88-1/12** (Replaces NC1-28-79-4/41)
**ECBD.26.01**

b. Daily log.

Cut off this file each calendar year; dispose of when 1 year old.

**NC1-28-88-1/9**
**ECBD.26.02**

**48. Employee Assistance Program (EAP) Case Files (120.140).**

**Arrangement:** Case files, alphabetically, by client last name.

**Description:** Referrals and other correspondence, quarterly evaluation worksheet, participation agreement, disciplinary action, and case history.

**Use:** To monitor client participation and progress.

**Sample Forms:** PS Forms 2545 (front page), 2588, 2592, 2597, 1267.

a. Client case files — records of deceased persons.

Remove from active file upon death of client. Cut off this file each calendar year; dispose of 1 year from date of cutoff.

**N1-28-88-1/14** (Replaces NC1-28-79-4/42a)
**ECBD.12.04**

b. Persons successfully completing the program.

Move to a completed file upon completion of program. Cut off this file each calendar year; dispose of 3 years from date of cutoff.

**N1-28-88-1/6** (Replaces NC1-28-79-4/42b)
**ECBD.12.05**

c. Persons dropped from the program for reasons of termination of employment, retirement, or transfer.

Move to an inactive file upon termination, retirement, or transfer. Cut off this file each calendar year; dispose of 3 years from date of cutoff.

**N1-28-88-1/7** (Replaces NC1-28-79-4/42c)
**ECBD.12.06**

## Injured on Duty

**49. Employee Injury — Office of Workers' Compensation Program (OWCP) Case Files (120.098).**

**Arrangement:** Case files, alphabetically, by last name of employee.

**Description:** Copies of Department of Labor forms, medical information, claims, and other supporting documentation to include correspondence, payment, and accounting records.

**Use:** To provide benefits and a record for audit and review.

**Sample Forms:** CA 1, 2, 2a, 3, 4, 5, 5b, 6, 7/20, 8/20, 10, 11, 13, 16, 17, 35A-35G; OWCP 1500; PS 202, 2490, 2491, 2556, 2557, 2559, 2560, 2562, 2572, 2572A, 2573, and 2577.

Move to an inactive file when employee leaves the Postal Service. Cut off this file each calendar year; transfer to FRC when 5 years old; dispose of 30 years from date of cutoff.

**NC1-28-83-3/1** (Replaces NC1-28-79-4/59)
**ECCB.12.01**

**50. Health Benefits Refund Records.**

**Description:** Quarterly claims from post offices showing individual injury compensation and health benefits premiums deducted by OWCP at the federal rate. Printouts generated from information supplied on PS Form 202 are filed to provide information by finance number, list of people paid for the quarter, payment amount, and address of payee.

Cut off this file each calendar year; dispose of 10 years from date of cutoff or termination of the program, whichever is sooner. Do not transfer to FRC.

**NC1-28-79-4/95**
**ECCB.11.01**

## Employee Communications

**51. Standards of Conduct Files.**

**Description:** Correspondence, memorandums, and other records relating to codes of ethics and standards of conduct.

Dispose of when obsolete or superseded.

**NC1-28-79-4/87**
**ECDX.11.01**

## Suggestions and Incentive Awards

**52. Employee Suggestion Program Files (120.050).**

**Arrangement:** Case files, by suggesters' names, or by suggestion number.

**Description:** Suggestion forms, evaluations, and other related papers such as administrative reviews and evidence of any payments made.

**Use:** To monitor the performance of certain adopted measures or modifications.

a. Adopted suggestions.

(1) Record copies.

Move to a closed file upon adoption or approval. Cut off this file each fiscal year; dispose of 4 years from date of cutoff.

**NC1-28-79-4/65a(1)**
**ECAE.12.01**

(2) All other copies.

Move to a closed file upon adoption or approval. Cut off this file each fiscal year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/65a(2)**
**ECAE.12.02**

b. Disapproved suggestions.

Move to a disapproved file upon disapproval. Cut off this file each fiscal year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/65b**
**ECAE.12.03**

**53. Incentive Award Files.**

**Arrangement:** Case files, chronologically within region, by award type or name.

**Description:** Recommendations, nominations, evidence of any payments made, and related correspondence.

Move to a closed file upon approval or disapproval. Cut off this file each calendar year; dispose of 4 years from date of cutoff.

**NC1-28-79-4/66**
**ECEB.00.01**

**54. Incentive Award Program Reports.**

**Description:** Statistical reports pertaining to the operation of the Incentive Awards Program.

Cut off this file each fiscal year; dispose of 3 years from the date of cutoff.

**NC1-28-79-4/67**
**ECEB.23.01**

**55. Length of Service Awards Files (120.100).**

**Description:** Correspondence, memorandums, reports, computations of service, and lists.

Cut off this file each calendar year; dispose of 1 year from date of cutoff.

**NC1-28-79-4/68**
**ECEB.00.03**

**56. Postal Career Executive Service (PCES) Awards and Statistics (120.100).**

a. Special achievement award records.

**Arrangement:** Alphabetically, by employee name.

**Description:** Annual special achievement awards documentation for headquarters and field PCES personnel.

Cut off the file each calendar year; dispose of 5 years from date of cutoff.

**ECEB.03.01**

b. Special achievement awards statistics.

**Description:** Statistical reports, other summaries, and Postal Leader articles pertaining to the PCES Achievement Award program.

Cut off the file each calendar year; dispose of 10 years from date of cutoff.

**ECEB.23.02**

c. Minority statistics.

**Arrangement:** Chronologically.

**Description:** Quarters 1–4 Minority Statistical report on PCES personnel including numbers, percentages, and reassignment statistics.

(1) Quarters 1–4.

Cut off the file each calendar year; dispose of 5 years from date of cutoff.

**EADA.23.03**

(2) Printouts.

Cut off the file each calendar year; dispose of 5 years after cutoff.

**EADA.23.04**

**57. Non-USPS Awards.**

**Arrangement:** Case files by award name or sponsor.

**Description:** Correspondence or memorandums pertaining to awards from other government agencies or private organizations.

Cut off this file each calendar year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/69**
**ECEB.00.04**

**58. Letters of Commendation and Appreciation (120.100).**

**Description:** Copies of letters recognizing length of service and retirement letters of appreciation and commendation for performance, excluding copies filed in the OPF.

Cut off this file each calendar year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/70**
**ECEB.00.05**

## Food Services/Parking

**59. Headquarters Car Pool Coordination and Parking Records.**

**Description:** Paper and machine-readable files. Paper files include applications, correspondence, violations, and photographs. Machine-readable files consist of information from the application file, such as name, space number, principal and other drivers' license numbers, and home addresses.

a. Application case files.

**Arrangement:** Numerically, by parking space number.

**Use:** To develop history of individual parking space and to house paperwork.

Retain until next carpool/parking space revalidation program is completed, then destroy.

**ECFX.12.01**

b. Machine-readable files (100.010).

**Arrangement:** Accessed by name, tag number, office location, and space number.

**Use:** In daily car pool and parking administration.

Immediately remove all information when employee surrenders space.

**N1-28-86-2/37b/c**
**ECFX.35.01**

c. Accounting reports generated in Office of Headquarters Services.

**Use:** To reconcile and monitor accounts.

Dispose of after audit.

**ECFX.24.01**

d. Other miscellaneous reports in Office of Headquarters Services.

**Use:** To administer parking program.

Dispose of when no longer needed for reference or when 1 year old, whichever is sooner.

**N1-28-86-2/37e**
**ECFX.23.01**

e. Violations maintained in applications case file.

Screen this file annually, dispose of all violation notices when 1 year old.

**N1-28-86-2/37f**
**ECFX.04.01**

f. Medical files maintained by the medical officer (120.090).

**Arrangement:** Alphabetically, by employee's name.

**Use:** To assign handicapped parking spaces.

Dispose of 1 year from date of termination of assignment. Do not transfer to FRC.

**N1-28-86-2/37g**
**ECFX.12.04**

## Record Keeping

**60. Employee Housing Requests.**

**Description:** Forms requesting USPS assistance in housing matters, such as rental or purchase.

Dispose of when 1 year old.

**NC1-28-79-4/76**
**ECGX.11.01**

**61. Personnel Work Sheets.**

**Arrangement:** Chronologically, batched by day, at Employee and Labor Relations Information Centers.

**Description:** Work sheets and associated reports containing personnel data identical to that found in the Official Personnel Folder.

**Use:** To enter information for hires and change information for current employees into the automated PS Form 50 system.

Dispose of 30 days after a new PS Form 50 is issued.

**NC1-28-80-3/8**
**ECGX.01.01**

**62. Official Personnel Folders (OPF) (120.070).**

a. Upon separation from the Postal Service for purpose of employment by another government agency.

Transfer folder to gaining Federal agency.

**NC1-28-79-4/20a**
**ECGX.12.04**

b. Upon separation from the federal service for purposes such as retirement, military service (active duty), or employment in the private sector.

Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 90 days after separation. NPRC will destroy 75 years after the birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.

**NC1-28-79-4/20b**
**ECGX.12.10**

**63. Temporary Records of Individual Employees (120.070).**

**Description:** Records filed on the left side of the Official Personnel Folder in accordance with USPS regulations.

Dispose of when 2 years old, upon separation, or upon transfer of employee, whichever is sooner.

**NC1-28-79-4/21**
**ECGX.12.05**

**64. Supervisors' Personnel Records (120.190).**

**Description:** Duplicate copies of individuals' employment records and other records maintained at the supervisor's discretion. May include copies of correspondence, personnel action forms, disciplinary records, and other related material.

a. Records of Discussions.

Dispose of when 1 year old if there has been no disciplinary action initiated against the employee during the period.

**NC1-28-80-3/7a**
**ECGX.12.06**

b. Letters of warning.

Dispose of when 2 years old if there has been no disciplinary action initiated against the employee during the period.

**NC1-28-80-3/7b**
**ECGX.12.07**

c. All other records.

Dispose of immediately upon termination of supervisor/ employee relationship.

**NC1-28-80-3/7c** (Replaces NC1-28-77-1/3)
**ECGX.12.02**

**65. Service Record Cards (120.070).**

**Description:** Standard Form 7 or its equivalent.

**Use:** To document employee's PS Form 50 history.

Move to an inactive file upon separation or transfer of the employee. Cut off this file each calendar year; dispose of 3 years from date of cutoff.

**NC1-28-79-4/23**
**ECGX.03.01**

**66. Financial Disclosure Reports for Executive Branch Personnel (120.060).**

**Arrangement:** Alphabetically by last name of employee, and by year of submission.

**Description:** Public financial disclosure reports (SF 278) and related documents submitted by senior level employees as required by Ethics in Government Act of 1978 (PL-521). Includes changes and additions.

**Use:** For compliance with Ethics in Government Act and for reviews of possible conflict of interest violations.

Dispose of 6 years from date of receipt unless needed in connection with pending investigation; then dispose of along with investigative file. Do not transfer to FRC.

**N1-28-87-5/6a** (Replaces NC1-28-79-4/88)
**GFXX.03.01**

**67. PS Forms 2417 and 2418, Confidential Statements of Employment and Financial Interests — (120.060).**

**Arrangement:** Alphabetically by last name of employee.

**Description:** Confidential statements of employment and financial interests, supplemental statements, and related documents submitted annually by certain Law Department employees as required by the Ethics in Government Act.

**Use:** For compliance with Ethics in Government Act and for reviews of possible conflict of interest violations.

Dispose of 2 years after employee is no longer subject to reporting requirements. Destroy by shredding. Do not transfer to FRC.

**N1-28-87-5/6b** (Replaces NC1-28-79-4/88)
**GFXX.03.02**

**68. Motor Vehicle Operators' Records (120.170, 120.210).**

**Arrangement:** Case files, alphabetically, by driver's name.

**Description:** Records relating to individual employee operation of Postal Service-owned or -leased vehicles; including driver tests,

licenses, safe driving, accidents, necessary medical information, and any related correspondence.

**Sample Forms:** PS 1543, 1768, 2480, 2548, 4584, 5908, 5909, 5932; OF-346, V-11P.

Upon separation, expiration of license, recision of authorization, or transfer of driver into a nondriving status, or transfer (unless requested by new installation or agency), move to an inactive file. Cut off this file each fiscal year; dispose of 4 years from date of cutoff.

**NC1-28-83-2/46**
**ECGX.12.01**

**69. Combined Federal Campaign Records.**

**Description:** General campaign records, statistical reports, record copy of coordinator and keyworker's report by offices, and other related documents.

Cut off the file each calendar year; dispose of 4 years from date of cutoff.

**NC1-28-78-6/2**
**ECGX.11.02**

# Training

## Career Development

**70. Training Aids.**

**Arrangement:** Sequentially, by 7-digit course number.

**Description:** Copies of manuals, syllabuses, textbooks, and lesson plans developed according to the American Council on Education (ACE); and other training aids developed by a USPS training facility, other agencies, or private institutions.

Cut off when course is dropped from curriculum; dispose of when no longer needed for reference or instruction purposes.

**NC1-28-79-4/48a(2)**
**EDBB.00.01**

**71. Employee Training Files (120.152).**

**Description:** Correspondence, memorandums, reports, and other records relating to the availability of training and employee participation in Postal or non-Postal training programs.

**Sample Forms:** PS 1734, 1782, 2432, 2548, 3132.

Cut off this file each calendar year; dispose of 5 years from date of cutoff.

**NC1-28-79-4/48c**
**EDBX.12.01**

**72. Technical Training Center Class Records.**

a. Class folders.

**Arrangement:** Chronologically, by course number and name.

**Description:** Student records: course number, test results and cross reference to tests administered, individual and course grade averages, counseling, and leave records.

Store in locked cabinets in local storage room. Do not send to FRC. Cut off this file at end of fiscal year. Dispose of 3 years from date of cutoff.

**N1-28-86-2/65**
**EDAB.00.01**

b. Registrar's office folders.

**Arrangement:** Numerically, by course offering number (course title, date, and number).

**Description:** Training requests, authorizations and class rosters. Contains student's name, Social Security number, duty station, and final grade. Contains a record of training (PS Form 1734) for students who complete course and withdrawal/failure form for individuals not completing course.

Cut off this file at end of the fiscal year; dispose of 1 year from date of cutoff.

**N1-28-86-2/66**
**EDAB.00.02**

c. Registrar's office magnetic tape (120.120, 120.121, 120.152, 120.153)

**Arrangement:** Alphabetically, by name and Social Security number (within class).

**Description:** Information from class rosters. Consists of name, Social Security number, final grade, duty station, course number, and title. Connected by terminal to database at the William F. Bolger Management Academy.

**Use:** For various statistical analyses and transcript requests. Cut off at end of each class. Maintain for 30 years. Do not send to FRC.

**EDAB.30.01**

**73. Technical Training Center Test Records.**

**Arrangement:** Chronologically, by date and course number.

**Description:** Senior instructor created tests and test validation information (pre- and post-test analysis data).

Cut off this file at end of each fiscal year. Dispose of 5 years from date of cutoff. Do not send to FRC.

**N1-28-86-2/67**
**EDAB.00.03**

# Labor Relations

## Collective Bargaining

**74. USPS-Union Negotiation Files.**

**Arrangement:** Numerically, by article number of the National Agreement.

**Description:** Correspondence, notes, memorandums, and other material pertaining to USPS-union contract negotiations.

**Use:** For preparation for future collective bargaining negotiations and for arbitrations.

Cut off this file upon termination of the contract; dispose of 50 years from date of cutoff, or when no longer needed for reference, whichever is later. Do not send to FRC.

**N1-28-88-5/4** (Replaces NC1-28-79-4/97)
**EEAX.00.01**

## Contract Administration

**75. Minutes of Meetings: Joint Labor/Management. (Committees such as EAP, Safety and Health, and scheme committees are established pursuant to Articles of the National Agreement.)**

**Arrangement:** Chronologically.

**Description:** Minutes of joint meetings of labor/management committees at both the national and field levels.

a. National level.

Cut off this file upon termination of the contract; transfer to FRC when 10 years old; dispose of 20 years from date of cutoff.

**NC1-28-79-4/98**
**EEBX.03.01**

b. Field level.

Cut off this file at the end of each calendar year; dispose of 5 years from date of cutoff. Do not transfer to FRC.

**N1-28-86-2/38**
**EEBX.03.02**

**76. Bulk Mail Center Labor Negotiations.**

**Arrangement:** Alphabetically, by BMC name.

**Description:** Records pertaining to the Labor Relations involvement in setting up the Bulk Mail Centers. Includes staffing plans and changes, correspondence, and documents resulting from local labor/management negotiations.

**Use:** To document labor/management agreements relating to BMCs.

Cut off this file when no longer needed for reference or research. Dispose of 2 years after cutoff.

**EEAX.00.02**

**77. Disciplinary and Contract Grievances and Appeals of Bargaining-Unit Employees.**

**Arrangement:** Case files, numerically, by case number.

**Description:** Notices of disciplinary action, standard grievance forms from the unions, statements of fact, statements of witnesses and supervisors, copies of supporting records from other USPS files, summaries, decisions, union corrections or additions, appeal requests, papers that result from an appeal to the Merit Systems Protection Board, and other pertinent papers.

**Use:** To document grievances and appeals for employees covered by the collective-bargaining agreements. (Articles 15 and 16.)

**Sample Forms:** PS 2608, 2609, 2610.

Move to a closed case file upon receipt of final decision. Cut off this file upon expiration of the National Agreement. Do not send to FRC; dispose of when 7 years old.

**N1-28-86-2/40** (Replaces NC1-28-83-2/30)
**EEBX.12.01**

***Note:*** No disposal is to occur without approval of the Director, Office of Grievance and Arbitration.

**78. Arbitration Case Files.**

**Arrangement:** Case files, numerically, by case number.

**Description:** Copies of original disciplinary and contract grievances, and appeals of bargaining-unit employees. Includes formal pleadings, memorandums of law, and other relevant documents such as case analyses, notes, and telephone records.

**Use:** To provide legal advice and representation to the Postal Service.

a. Disciplinary and contract application cases (national and field level).

Move to a closed case file upon receipt of final decision. Cut off this file each calendar year.

Transfer to FRC 7 years after cutoff; dispose of 15 years from date of cutoff.

**N1-28-86-2/39a(1)** (Replaces NC1-28-83-2/31a)
**EEBX.12.02**

b. Contract interpretation cases (national level).

Move to a closed file upon receipt of final decision. Cut off this file upon expiration of the agreement; transfer to FRC when 7 years old; dispose of 15 years from date of cutoff.

**NC1-28-83-2/31b**
**EEBX.12.04**

c. Court actions.

Move to a closed file upon receipt of final decision. Cut off this file upon expiration of the agreement; transfer to FRC when 7 years old; dispose of 15 years from date of cutoff.

**N1-28-86-2/39b**
**EEBX.12.05**

**79. PS Form 186, Directives Clearance Files — Labor Relations Issues.**

**Arrangement:** Chronologically.

**Description:** Copies of PS 186 packages from other Headquarters departments relating to proposed program changes that have labor relations implications. Include background papers and correspondence.

**Use:** To notify unions of proposed policy or program changes affecting bargaining unit employees.

Cut off this file at the end of each calendar year. Transfer to storage 2 years after cutoff. Dispose of 4 years after cutoff.

**EEBX.03.03**

# Compensation

## Job Evaluation

**80. Position Evaluations — Files on Nonbargaining Positions.**

a. Record copy.

**Arrangement:** Case files, by occupation code.

**Description:** Position evaluations and descriptions of established positions including job title, series, grade, duties, and responsibilities. Requests for reviews (PS 6802), letters of appeal, letters from management, worksheets, decision letters, and fact sheets from USPS and from associations representing postmasters and supervisors.

Move to an inactive file when position is abolished. Cut off this file each calendar year; transfer to FRC when 2 years old; dispose of 10 years from date of cutoff.

**NC1-28-79-4/90a(1)**
**EFAA.12.01**

b. Incumbency data — reports on nonbargaining positions.

**Arrangement:** Numerically, by occupation code sequence.

**Description:** Statistical survey and listing of individuals in job descriptions by occupation code sequence. Reports are issued bimonthly.

Dispose of when superseded.

**NC1-28-79-4/90c**
**EFAA.22.02**

**81. Position Evaluations and Related Files — Bargaining Positions (Employees covered by a formal bargaining agreement).**

Record copy of position descriptions. Files describing established positions including title, series, grade, duties, occupation codes, responsibilities of incumbents, reference materials used to develop position descriptions, correspondence on bargaining positions

utilization and authorization, reports such as master occupation code lists, job evaluation information and statistical surveys.

Move to an inactive file when position is abolished or description is superseded. Cut off this file each calendar year; transfer to FRC when 5 years old; dispose of 10 years from date of cutoff.

**NC1-28-79-4/91a(1)**
**EFAB.12.02**

## Administration

**82. Wage and Salary Administration Records — Pay Consultations with Management Organizations.**

**Description:** All background information, wage comparability data, correspondence, data requested by and furnished to management organizations, and pay package decisions and articles issued.

Cut off these files upon termination of the Agreement to which they pertain; dispose of 50 years from date of cutoff.

**EFCB.11.01**

**83. Unemployment Compensation.**

a. Claims Files.

**Arrangement:** Chronologically, by date of action.

**Description:** Wage and separation information from USPS and correspondence from state unemployment agencies.

**Use:** To verify employment and unemployment in order to determine compensation. If appealed, this becomes the appeals file.

**Sample Form:** PS 6803.

Move to a closed file upon award or denial of compensation or expiration of appeal date. Cut off this file each accounting period; dispose of 3 years from date of cutoff.

**EFCF.03.01**

b. Appeals Files.

**Arrangement:** Case files, alphabetically, by name of claimant.

**Description:** Forms and correspondence from state agencies, to include notices of appeals hearing, copies of transcripts, decision letters, evidence, court orders, through all levels of appeals.

**Use:** To defend the Postal Service position in unemployment compensation appeals.

**Sample Form:** PS 6803.

Move to a closed file upon final determination or expiration of appeal date; dispose of 6 years, 3 months from date of cutoff.

**EFCF.12.01**

**84. Uniform Program Records.**

**Description:** Correspondence and other information pertaining to the USPS Uniform Program.

a. Special correspondence dealing with items of uniform equipment, arranged by equipment.

Cut off this file each calendar year; dispose of 2 years from date of cutoff.

**NC1-28-79-4/43a**
**EFCX.11.01**

b. Complete set of published uniform specifications: USPS quality control standards, arranged in numerical sequence. (The history of USPS uniform items is presently retained at Natick Laboratories, Department of the Army, U.S. Army Research and Development Command, Natick, MA 01760-5000.)

Dispose of when superseded or no longer needed for reference.

**NC1-28-79-4/43b**
**EFCX.12.01**

c. Uniform vendor files consisting of vendors' applications, copies of signed code of ethics, and related records.

Move to an inactive file upon terminating vendor and USPS association. Cut off this file each calendar year; dispose of 1 year from date of cutoff.

**NC1-28-79-4/43c**
**EFCX.12.02**

**85. Uniform Allowance Payment Records (050.040).**

a. District accounting office copies.

**Arrangement:** By pay period. No other sortation required.

**Description:** Batches of invoices submitted by uniform vendors requesting payment for uniform items supplied to postal employees eligible for uniform allowances.

**EFCX.03.01**

Cut off the file at the end of each calendar year; dispose of two (2) years from the date of cutoff.

b. Post office case files.

**Arrangement:** Alphabetically by employee last name. Move to an inactive file when problem is resolved.

**Description:** Correspondence, copies of bills and invoices, and related papers resulting from post office research of employee problems or questions regarding the Uniform Allowance Program.

Cut off the inactive file at the end of the calendar year; dispose of two (2) years from the date of cutoff.

**EFCX.12.03**

# Keyword Index for the Appendix


| Section | |
|---|---|
| **A** | |
| Accident Analyses and Studies | 41 |
| Accident Investigation and Tort Claims Records, Vehicle (VMF) | 36 |
| Accident Registers | 38 |
| Accident Report (ELRIC) | 33 |
| Accident Report Records (Headquarters) | 32 |
| Accident Report Records (Local) | 34 |
| Adverse Actions Appeals | 30 |
| Adverse Actions, Discipline, Grievances and Appeals of Nonbargaining Unit Employees | 28 |
| Affirmative Action Plans, EEO | 4 |
| Appeals, Adverse Actions | 30 |
| Appeals, Adverse Actions, Discipline, Grievances of Nonbargaining Unit Employees | 28 |
| Appeals, Disciplinary and Contract Grievances of Bargaining-Unit Employees | 77 |
| Applicant Files, Outside | 9 |
| Applications for Candidacy – PCES | 11 |
| Applications and Resumes, Women's Program | 8 |
| Applications for Employment | 17 |
| Applications for Master Instructor Positions | 21 |
| Appreciation and Commendation, Letters of | 58 |
| Arbitration Case Files | 78 |
| Awards and Statistics, PCES | 55 |
| Awards Files, Incentive | 53 |
| Awards Files, Length of Service | 55 |
| Awards Program Reports, Incentive | 54 |
| Awards, NonUSPS | 57 |
| **B** | |
| Bidding Records, Employee | 20 |
| Bulk Mail Center Labor Negotiations | 76 |
| **C** | |
| Car Pool Coordination and Parking Records, Headquarters | 59 |
| Claims, Tort, Vehicle Accident, and Investigation Records | 36 |
| Combined Federal Campaign Records | 69 |
| Commendation and Appreciation, Letters of | 58 |
| Conduct, Standards of, Files | 51 |
| Confidential Statements of Employment and Financial Interests | 67 |
| Contract and Disciplinary Grievances and Appeals of Bargaining-Unit Employees | 77 |
| Compensation, Unemployment | 83 |

| Section | |
|---|---|
| **D** | |
| Directives Clearance Files – Labor Relations Issues | 79 |
| Disciplinary and Contract Grievances and Appeals of Bargaining-Unit Employees | 77 |
| Discipline, Adverse Actions, Grievances, and Appeals of Nonbargaining-Unit Employees | 28 |
| Discrimination Complaint Cases (EEO) | 25 |
| **E** | |
| Employee Assistance Program (EAP) History Card | 45 |
| Employee Assistance Program (EAP) Case Files | 48 |
| Employee Assistance Program (EAP) Case Number Assignment Sheets | 47 |
| Employee Assistance Program (EAP) Coordinator/Specialist Applications and Interviews | 19 |
| Employee Assistance Program (EAP) Correspondence and Reports | 46 |
| Employee Bidding Records | 20 |
| Employee Exposure Records | 44 |
| Employee Housing Requests | 60 |
| Employee Injury, OWCP Files | 59 |
| Employee Suggestion Program Files | 52 |
| Employee Training Files | 71 |
| Employment and Financial Interests Records | 67 |
| Employment, Applications for | 17 |
| Employment Registers | 16 |
| Equal Employment Opportunity (EEO) – Affirmative Action Files | 4 |
| Equal Employment Opportunity (EEO) – Background Files | 26 |
| Equal Employment Opportunity (EEO) – Class Complaint Litigation Files | 27 |
| Equal Employment Opportunity (EEO) – Discrimination Complaint Cases | 25 |
| Equal Employment Opportunity (EEO) – General Files | 3 |
| Equal Employment Opportunity (EEO) – Reports | 5 |
| Equal Employment Opportunity (EEO) – Staff Directory | 6 |
| Equal Employment Opportunity (EEO) – Staff Selection Records | 15 |
| Executive Branch Personnel, Financial Disclosure Reports | 66 |
| Executive Leadership Files, Nominations for | 23 |
| Exposure Records, Employee | 44 |
| **F** | |
| Fatality/Serious Accident Investigative Boards and Reports | 35 |
| Financial Disclosure Reports for Executive Branch Personnel | 66 |
| **G** | |
| Grievances, Adverse Actions, Discipline, Appeals of Nonbargaining-Unit Employees | 28 |
| Grievances, Disciplinary and Contract, and Appeals of Bargaining-Unit Employees | 77 |

| Section | |
|---|---|
| **H** | |
| Hazardous Material – Incident Reports | 42 |
| Health Benefits Refund Records | 50 |
| Housing Requests, Employee | 60 |
| **I** | |
| Incentive Award Files | 53 |
| Incentive Award Program Reports | 54 |
| Investigative Boards and Reports – Fatality/Serious Accident | 35 |
| Investigative Records, Preemployment | 14 |
| **J** | |
| **K** | |
| **L** | |
| Labor/Management Joint Meetings, Minutes | 75 |
| Labor Negotiations, BMC | 76 |
| Labor Relations Issues, Directives Clearance Files | 79 |
| Length of Service Awards Files | 55 |
| Letters of Commendation and Appreciation | 58 |
| Logs or Indexes of Disciplinary and Contract Grievances and Adverse Action Cases | 31 |
| **M** | |
| Management Training Program Records | 22 |
| Master Instructor Positions, Applications for | 21 |
| Memorandum of Authorization | 1 |
| Merit Performance Evaluation File | 24 |
| Merit System Protection Board (MSPB) Decisions | 29 |
| Minutes of Meetings – Joint Labor/Management | 75 |
| Motor Vehicle Operators Records | 68 |
| **N** | |
| Negotiation Files, USPS-Union | 74 |
| Nominations for Executive Leadership Files | 23 |
| NonUSPS Awards | 57 |
| **O** | |
| Office of Workers' Compensation (OWCP) Employee Injury Files | 49 |
| Official Personnel Folders | 62 |
| Operators' Records, Motor Vehicle | 68 |
| OSHA Inspection Reports and Letters Concerning Corrections of Violations | 40 |
| Outside Applicant Files | 9 |
| **P** | |
| Parking and Car Pool Coordination Records, Headquarters | 59 |
| Performance Evaluation File, Merit | 24 |
| Personnel Folder, Official (OPF) | 62 |
| Personnel Records, Supervisors' | 64 |
| Personnel Research and Test Validation Records | 18 |

| Section | |
|---|---|
| Personnel Worksheets | 61 |
| Position Evaluations and Related Files – Bargaining Positions | 81 |
| Position Evaluations – Files on Nonbargaining Positions | 80 |
| Postal Career Executive Service (PCES) Awards and Statistics | 56 |
| Postal Career Executive Service (PCES) Applications for Candidacy | 11 |
| Postmaster Selection | 13 |
| Pre-Employment Investigative Records | 14 |
| **Q** | |
| **R** | |
| Registers, Accident | 38 |
| Registers, Employment | 16 |
| **S** | |
| Safety Inspection Reports | 43 |
| Safety Program Evaluations, Inspection Checklists, and other Administrative Papers | 37 |
| Selection, Postmaster | 13 |
| Selection Files, Vacancy | 10 |
| Selection Records, EEO Staff | 15 |
| Service Record Cards | 65 |
| Standards of Conduct Files | 51 |
| Statistical Reports, Women's Program | 7 |
| Statistics Files, Work Force Profile | 2 |
| Supervisors' Personnel Records | 64 |
| **T** | |
| Temporary Records of Individual Employees | 63 |
| Test Validation Records | 18 |
| Tort Claims Records, Vehicle Accident (VMF) | 36 |
| Training Aids | 70 |
| Training Center Class Records | 72 |
| Training Center Test Records | 73 |
| Training Files, Employee | 71 |
| Training Program Records, Management | 22 |
| **U** | |
| Unemployment Compensation | 83 |
| Uniform Allowance Payment Records | 85 |
| Uniform Program Records | 84 |
| USPS-Union Negotiation Files | 74 |
| **V** | |
| Vacancy Files | 12 |
| Vacancy Selection Files | 10 |
| Vehicle Accident Investigation and Tort Claims Records | 36 |
| **W** | |
| Wage and Salary Administration Records | 82 |
| Women's Program – Applications and Resumes | 8 |

| Section | |
|---|---|
| Women's Program – Statistical Reports | 7 |
| Work Force Profile Statistics Files | 2 |
| **X–Z** | |

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