

NOAA Records Schedules

Chapter 300

Personnel Management Files

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302 GENERAL PERSONNEL PROGRAM FILES

Subfunction 302-01 through Subfunction 310 of this schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever they are located in the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied. Subfunction 311 of this schedule covers the disposition of personnel files created and maintained by NOAA Corps and should be used only by NOAA Corps offices, including the official Personnel Folder.

302-01 Official Personnel Folders of Federal Employees.

Records filed on the right side of the Official Personnel Folder (OPF) covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention. (See GRS 1, item 10, for temporary papers filed on the left side of the OPF).

a. Transferred employees.

Authorized Disposition - PERMANENT (GRS 1, item 1a)

See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.

b. Separated employees.

Authorized Disposition – PERMANENT (GRS 1, item 1b)

Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO., 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service.

[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPF's to NPRC. These agencies retain OPF's for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

Cross-reference: NOAA Records Series Code 302-93a

302-02 **Temporary Individual Employee Records.**

a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Authorized Disposition – TEMPORARY (GRS 1, item 10a)
Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records.

b. Immigration and Naturalization Service Form I-9.

Authorized Disposition – TEMPORARY (GRS 1, item 10b) Destroy 3 years after employee separates from service or transfers to another agency.

Cross-reference: NOAA Records Series Code 303-16

302-03 **Notifications of Personnel Actions.**

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

a. Chronological file copies, including fact sheets, maintained in personnel offices.

Authorized Disposition - TEMPORARY (GRS 1, item 14a)
Destroy when 2 years old.

b. All other copies maintained in personnel offices.

Authorized Disposition – TEMPORARY (GRS 1, item 14)
Destroy when 1 year old.

Cross-reference: NOAA Records Series Code 302-93d

302-04 **Correspondence and Forms Files.**

Operating personnel office records relating to individual employees not

a. Correspondence and forms relating to pending personnel actions.

Authorized Disposition - TEMPORARY (GRS 1, item 17a)
Destroy when action is completed.

b. Retention registers and related records.

(1) Registers and related records used to effect reduction-in-force actions.

Authorized Disposition - TEMPORARY (GRS 1, 17b1)

Destroy when 2 years old.

Cross-reference: NOAA Records Series Code 303-51a.1.

(2) Registers from which no reduction-in-force actions have been taken and related records.

Authorized Disposition – TEMPORARY (GRS 1, item 17b2)

Destroy when superseded or obsolete.

Cross-reference: NOAA Records Series Code 303-51a.2.

c. All other correspondence and forms.

Authorized Disposition - TEMPORARY (GRS 1, item 17c)

Destroy when 6 months old.

Cross-reference: NOAA Records Series Code 303-51c

302-05

Personnel Correspondence and Subject Files.

Correspondence, reports, memoranda, and other records related to employment programs and function and manpower management and evaluation that includes but not limited to experts and consultants, overseas employment, reemployment rights, employee transfer and detail, excepted positions, and other files.

Authorized Disposition - TEMPORARY (GRS 1, item 3)

Destroy when 3 years old.

Cross-reference: NOAA Records Series Code 302-1 and 303 for records that are not described specifically elsewhere in this chapter.

302-06

Veteran Preference Files.

Documents relating to the latest certification of eligibility for veterans' preference or verifies competitive status, and documentation or military service history.

Authorized Disposition - PERMANENT (GRS 1, item 1)

In accordance with Chapter 3 of "The Guide to Personnel Recordkeeping" and GRS 1, item 1, *documents should be filed on the right side of the Official Personnel Folder.*

Cross-reference: NOAA Records Series Code 302-11

302-07 **Personnel Reports Files.**

Statistical reports on agency personnel, operations reports, and other reports of a general nature. Any reports relating to a specific activity would be filed under the code for that activity. Example – a report that is part of an EEO project would be filed with EEO material; a general report of their activities made to higher level offices as part of an overall operations report would be filed under this code. This item also includes correspondence about general reporting requirements.

Authorized Disposition - TEMPORARY (GRS 1, item 16)
Cut off at end of calendar year when created. Destroy 3 years later.

Cross-reference: NOAA Records Series Code 302-91

302-08 **Personnel Records Files.**

These files contain various personnel records pertaining to individuals, and also material on policies and regulations regarding system of records.

Authorized Disposition - TEMPORARY (GRS 1, item 3)
Destroy when 3 years old.

Cross-reference: NOAA Records Series Code 302-93

302-09 **Competitive Service and Competitive Status Files.**

Documents relating to the operation of the competitive service, and the status of positions or individuals within it.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-12)
Cut off at end of calendar year when created. Destroy 3 years later.

302-10 **Exempted Services Files.**

Documents relating to operations related to positions excepted from the competitive service. Includes identification of such positions and correspondence relating to cases that arise.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-13)
Cut off at end of calendar year when created. Destroy 3 years later.

302-11

Personnel Management Organization Files.

Documents relating to the organization of the personnel management program within the government.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-30)
Cut off at end of calendar year when created. Destroy 3 years later.

302-12

Personnel Management in Agencies Files.

Documents relating to requirements of OPM for personnel management in the agency, and the various program elements which should be in place.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-50)
Cut off at end of calendar year when created, or when superseded or obsolete, whichever is appropriate. Destroy 3 years later.

302-13

Intramangement Communications Files.

Document relating to relationships between different levels of management, and methods of communication and consultation between them.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-51)
Cut off at end of calendar year when created. Destroy 3 years later.

302-14

Professional and Other Association Files.

Documents pertaining to relations with professional societies, employee clubs, and other groups. Also records concerning the status of employees with such groups.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-52)
Cut off at end of calendar year when created. Destroy 3 years later.

302-15

Inspection, Survey, and Audit Files.

Documents concerning inspections, surveys, and audits of personnel functions within NOAA. Maintain OPM audits and evaluations separately from internal general audits, etc. See 302-16 for actions to correct problems found.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-73)
Cut off at end of calendar year when created. Destroy 3 years later.

302-16 **Corrective Action Files.**

Documents relating to corrective actions taken as a result of inspections, surveys, or audits.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-74)
Cut off at end of calendar year when created. Destroy 3 years later.

302-17 **Personnel Information Requirement Files.**

Documents relating to types of personnel information systems required to be maintained, the type of data needed in the systems, and similar subjects.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-90)
Cut off at end of calendar year when created. Destroy 3 years later.

302-18 **Data Standardization Files.**

Correspondence and related records concerning standardization of personnel data collected, formats used for maintaining it, types of codes, and similar aspects of data maintenance.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-92)
Cut off at end of calendar year when created. Destroy 3 years later.

302-19 **Availability of Official Information Files.**

Documents relating to what official information can be made available, and to what individuals.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-94)
Cut off at end of calendar year when created. Destroy 3 years later.

302-20 **Purpose and Use of Forms and Documents Files.**

Correspondence and related materials pertaining to the proper purpose and uses of personnel forms or other documents.

Authorized Disposition- TEMPORARY (Formerly NOAA 302-95)
Cut off at end of calendar year when created. Destroy 3 years later.

303 RECRUITMENT AND EMPLOYMENT FILES

These files relate to the recruitment and hiring of civilian personnel, and to related employment files, including merit promotion, reduction in force, and career intern programs.

303-01 Offers of Employment File.

Correspondence files including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Authorized Disposition- TEMPORARY (GRS 1, item 4a)
Destroy when appointment is effective.

b. Declined offers for Federal employment.

(1) When name is received from certificate of eligibles.

Authorized Disposition - TEMPORARY (GRS 1, item 4b(1))
Return to OPM with reply and application.

Cross-reference: NOAA Records Series Code 303-32

(2) Temporary or excepted appointment.

Authorized Disposition - TEMPORARY (GRS 1, item 4b2)
File with application (see GRS 1, items 33k, 33l, 33m, or 33n, as appropriate).

Cross-reference: Excepted appointments - NOAA Records Series Code 302-10.

(3) All others.

Authorized Disposition - TEMPORARY (GRS 1, item 4b3)
Destroy immediately.

303-02 Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.

Authorized Disposition - TEMPORARY (GRS 1, item 5)
Destroy when 2 years old.

Cross-reference: NOAA Records Series Code 303-32c.

303-03

Examining and Certification Records.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

a. Delegated agreements.

Authorized Disposition – TEMPORARY (GRS 1, item 33a)
Destroy 3 years after termination of agreement.

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Authorized Disposition- TEMPORARY (GRS 1, item 33b)

Retention: Cut off annually. Destroy 1 year after cutoff.

c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

Authorized Disposition - TEMPORARY (GRS 1, item 33c)
Destroy 90 days after updating the appropriate record in the registry or inventory.

d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Authorized Disposition - TEMPORARY (GRS 1, item 33d)
Destroy when test is superseded or obsolete.

e. Item deleted

f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Authorized Disposition - TEMPORARY (GRS 1, item 33f)

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.

g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Authorized Disposition - TEMPORARY (GRS 1, item 33g)

Destroy 2 years after the date on which the register of inventory is terminated.

h. Item deleted.

i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Authorized Disposition - TEMPORARY (GRS 1, item 33i)

Destroy when 6 months old.

j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Authorized Disposition - TEMPORARY (GRS 1, 33j)

Cut off files annually. Destroy 5 years after cut off.

k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes supplemental forms, and attachments, whether in hard copy or electronic format.

Authorized Disposition- TEMPORARY (GRS 1, item 33k)

Cut off annually. Destroy 1 year after cut off.

l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Authorized Disposition- TEMPORARY (GRS 1, item 3311 [el-one])
Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).

(2) On inactive register or inventory.

Authorized Disposition- TEMPORARY (GRS 1, item 3312 [el-two])
Cut off annually. Destroy 1 year after cut off.

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Authorized Disposition- TEMPORARY (GRS 1, item 33m)
Cut off annually. Destroy 2 years after cut off.

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Authorized Disposition- TEMPORARY (GRS 1 item 33n)
Cut off annually. Destroy 2 years after cut off.

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Authorized Disposition- TEMPORARY (GRS 1, item 33o)
Cut off annually. Destroy 1 year after cut off.

p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Authorized Disposition- TEMPORARY (GRS 1, item 33p)
Cut off annually. Destroy 2 years after cut off.

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Authorized Disposition- TEMPORARY (GRS 1, item 33q)
Cut off annually. Destroy 2 years after cutoff.

r. Interagency Placement Program (IPP) application and registration sheet.

Authorized Disposition- TEMPORARY (GRS 1, item 33r)
Destroy upon expiration of employee's DEP eligibility.

s. DEP control cards, if maintained.

Authorized Disposition- TEMPORARY (GRS 1, item 33s)
Cut off annually. Destroy 2 years after cut off.

t. Reports of audits of delegated examining operations.

Authorized Disposition- TEMPORARY (GRS 1, item 33t)
Destroy 3 years after date of the report.

Cross-reference: NOAA Records Series Codes 303-31, 303-32, 303-33, 303-37, and 303-38.

303-04

Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

Authorized Disposition- TEMPORARY (GRS-1, item 40)
Destroy 5 years following the date of approval or disapproval of each case.

Cross-reference: NOAA Records Series Code 303-06

303-05

Executive Assignment System Employment Files.

Documents relating to cross-assignments of executives in different agencies to aid their career development. Includes executive inventories and related information.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-05)
Cut off at end of calendar year when created. Destroy 3 years later.

303-06

Reasonable Accommodation Request Records.

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

a. General Files

Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and

for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.

Authorized Disposition- TEMPORARY (GRS 1, item 24a)

Destroy three years after supersession or when no longer needed for reference whichever is later.

b. Employee Case Files

Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, e-mails, records of oral conversations, medical documentation, and notes.

Authorized Disposition- TEMPORARY (GRS 1, item 24b)

Destroy three years after employee separation from the agency or all appeals are concluded whichever is later.

[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]

c. Supplemental Files

Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, e-mails, notes.

Authorized Disposition- TEMPORARY (GRS 1, item 24c)

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.

[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file. (GRS 1, item 24c Note)]

d. Tracking System

Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.

Authorized Disposition- TEMPORARY (GRS 1, item 24d)
Delete/destroy three years after compliance report is filed or when no longer needed for reference.

303-07

Student Employment and Work-Study Program Files.

Includes, but is not limited to, the following material:

a. Junior Fellow Program files on the operation of this program. Also see “e” below.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-08)
Cut off at end of calendar year when created. Destroy 3 years later.

b. COOP Program files, relating to the general program operation of the Cooperative Education Program (COOP), including correspondence with offices concerning placements of students. Also see “e” below.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-08)
Cut off at end of calendar year when created. Destroy 3 years later.

c. University files, including correspondence with universities about their participation or possible participation in student employment programs. See “d” below for any agreements.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-08)
Cut off at end of calendar year when created. Destroy 3 years later.

d. University Agreement files, containing the formal agreements with universities to participate student employment program.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-08)
Cut off when agreement ends. Destroy 3 years later.

e. Student files, consisting of material on individuals participating in these employment programs.

Authorized Disposition-

Relevant Material PERMANENT (Formerly NOAA 303-08)

Remaining Material TEMPORARY (Formerly NOAA 303-08)

Transfer relevant material to OPF when employee leaves program. Destroy remaining materials 1 year later.

303-08 Power of Appointment and Removal Files.

Documents relating to cases of possible or actual employment or removal power of the agency.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-11)

Cut off at end of calendar year when created. Destroy 3 years later.

303-09 Position Management Files.

Documents relating to the management of the numbers or types of positions within the agency, including actions taken to establish, review, or abolish positions.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-12)

Cut off at end of calendar year when created. Destroy 3 years later.

303-10 Career and Career-Conditional Employment Files.

Documents relating to career or career-conditional employments, excluding those falling under specific provisions of other items described in this subfunction.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-15)

Cut off at end of calendar year when created. Destroy 3 years later.

303-11 Temporary or Indefinite Employment Files.

Documents relating to the temporary or indefinite employment of individuals.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-16)

Cut off at end of calendar year when created. Destroy 3 years later.

303-12 Recruitment, Selection, and Placement Files.

This is a general file on these actions, and excludes documents described by other items in this subfunction.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-30)

Cut off at end of calendar year when created. Destroy 3 years later.

303-13 Recruitment and Examining Organization Files.

Documents relating to the organization of recruitment and examining programs.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-31)

Cut off at end of calendar year when created. Destroy 3 years later.

303-14 **Recruitment and Selection for Temporary and Term Appointments Outside the Register Files.**

Authorized Disposition- TEMPORARY (Formerly NOAA 303-33)
Cut off at end of calendar year when created. Destroy 3 years later.

303-15 **Temporary Assignment of Employees Outside Agency Files.**

Documents relating to the temporary assignment of employees to other agencies, states or local governments, and institutions of higher learning. See 303-05 for Executive Assignment Systems Files.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-34)
Cut off at end of calendar year when created. Destroy 3 years later.

303-16 **Restoration of Military Duty Files.**

Documents relating to restoring employees to positions after military duty.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-53)
Cut off at end of calendar year when created. Destroy 3 years later.

303-17 **Career Intern Program Files.**

Documents relating to career intern and similar programs, such as management interns.

a. Individual intern folders, containing information on individuals within the program. (This is not the OPF).

Authorized Disposition- TEMPORARY (Formerly NOAA 303-61)
Cut off at end of calendar year when created. Destroy 3 years later.

b. Other program material.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-61)
Cut off at end of calendar year when created. Destroy 3 years later.

303-18

Employment of Relatives Files.

Documents relating to cases of possible or actual employment of relatives within NOAA.

Authorized Disposition- TEMPORARY (Formerly NOAA 303-10)
Cut off at end of calendar year when created. Destroy 3 years later.

304 EMPLOYEE PERFORMANCE, UTILIZATION, AND TRAINING FILES

These files relate to programs to evaluate performance, to train and develop employees, and to promote incentive through awards.

304-01 Career Management Files.

Documents pertaining to programs to aid the career development of NOAA employees. Usually arranged by type of career program plan.

Authorized Disposition- TEMPORARY (Formerly NOAA 304-06)

1. Career guides: Destroy when superseded or obsolete.
2. Other files: Cut off at end of calendar year when created or when superseded, whichever is appropriate. Destroy 3 years later.

304-02 Training Files.

Files contain the general files of Agency-sponsored personnel training, including correspondence, memoranda, agreements, authorizations (e.g. SF 182 – Request, Authorization, Agreement and Certification of Training), reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences, as well as background and working files.

Also includes employee training records including correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in personnel training programs sponsored by other government agencies or non-Government institutions.

Excludes: Training for specialized program areas and the record copy of manuals, syllabuses, textbooks, and other training aids developed by the Agency.

a. General file of Agency-sponsored personnel training EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

- (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Authorized Disposition- TEMPORARY (GRS 1, item 29a (1))
Destroy when 5 years old or 5 years after completion of a specific training program.

(2) Background and working files.

Authorized Disposition- TEMPORARY (GRS 1, item 29a (2))
Destroy when 3 years old.

b. Employee training

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Authorized Disposition- TEMPORARY (GRS 1, item 29b)
Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

NOTE: Copies of employee training records maintained at the supervisory level are covered in NOAA Supervisors' Personnel Files and Duplicate OPF Documentation. (GRS 1, item 18).

Cross-reference: NOAA Records Series Codes 304-10, 304-11, and 304-12.

304-03

Training School and Course Files.

Documents relating to courses or training facilities operated by NOAA.

a. Curriculum, syllabus, and course material files for the school.

Authorized Disposition- PERMANENT (Formerly NOAA 304-11a)
Cut off when superseded or obsolete.

b. Class schedule files pertaining to when classes will meet, and related travel plans to meet the schedule.

Authorized Disposition- TEMPORARY (Formerly NOAA 304-11b)
Cut off at end of calendar year when created. Destroy 2 years later.

c. Equipment resources files, relating to use of visual aids or of equipment for demonstrations of "hand on" experience.

Authorized Disposition- TEMPORARY (Formerly NOAA 304-11c)
Cut off at end of calendar year when created. Destroy 2 years later.

d. Training selection files. Documents relating to the selection of trainees for courses. Includes resumes and applications, notifications ensuring prerequisites are met, acceptances, and related records.

Authorized Disposition- TEMPORARY (Formerly NOAA 304-11d)

1. NOAA and other domestic students: send one copy of selection approval to OPF.

2. Foreign trainees: send one copy of all records to office responsible for the relevant international program.

3. All other copies: Cut off at end of fiscal year when created. Destroy 2 years later.

e. Certificate of Training files, including all files relating to the issuance of certificates, waivers, or delayed certificates to students.

1. NOAA and other domestic students: send one copy of certificate to OPF.

2. Foreign trainees: send one copy of all records to office responsible for the relevant international program.

3. All other copies: Cut off at end of fiscal year when created. Destroy 3 years later.

f. Class picture files for each class which completes training (if a picture is taken).

1. Send one copy to the NOAA still picture collection, NOAA Photo Library.

2. Other copies: Destroy when no longer needed.

g. Area facilities files, containing information for students on transportation, housing, food, and other services near training site.

Cut off at end of calendar year when created or when superseded. Destroy 1 year later.

h. General operational files not otherwise described.

Cut off at end of fiscal year when created or when training program ends, whichever is appropriate. Destroy 5 years later.

304-04 **Executive Development Files.**

Documents relating to programs to develop the skills or potential of executives.

Authorized Disposition- TEMPORARY (Formerly NOAA 304-12)
Cut off at end of fiscal year when created. Destroy 3 years later.

304-05 **Employee Performance File System Records.**

a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.

Authorized Disposition- TEMPORARY (GRS 1, item 23a1)
Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or GRS 1, item 17-in-grade notice.

(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Authorized Disposition- TEMPORARY (GRS 1, item 23a2)
Destroy when superseded.

(3) Performance-related records pertaining to a former employee.

(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

Authorized Disposition- TEMPORARY (GRS 1, item 23a3a)
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.

Authorized Disposition- TEMPORARY (GRS 1, 23a3b)
Destroy when 4 years old.

(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Authorized Disposition- TEMPORARY (GRS 1, item 23a4)
Destroy 4 years after date of appraisal.

(5) Supporting documents.

Authorized Disposition- TEMPORARY (GRS 1, item 23a5)
Destroy 4 years after date of appraisal.

b. SES appointees (as defined in 5 U.S.C. 3132a(2))

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Authorized Disposition- TEMPORARY (GRS 1, item 23b1)
Destroy when superseded.

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Authorized Disposition- TEMPORARY (GRS 1, item 23b2a)
Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b2b) of this schedule.

(b) All other performance ratings and plans.

Authorized Disposition- TEMPORARY (GRS 1, item 23b2b)
Destroy when 5 years old.

(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment.

Authorized Disposition- TEMPORARY (GRS 1, item 23b3)
Destroy 5 years after date of appraisal.

(4) Supporting documents.

Authorized Disposition- TEMPORARY (GRS 1, item 23b4) Destroy 5 years after date of appraisal.

[NOTE: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

Cross-reference: NOAA Records Series 304-30 and 304-32

304-06 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 OPF.

Authorized Disposition- TEMPORARY (GRS 1, item 12c)
Destroy when 2 years old.

Cross-reference: NOAA Records Series 304-51d

304-07 Lists of or Indexes to Agency Award Nominations.

Lists of nominees and winners and indexes of nominations.

Authorized Disposition- TEMPORARY (GRS 1, item 12d)
Destroy when superseded or obsolete.

Cross-reference: NOAA Series Code 304-51f

304-08 Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Authorized Disposition- TEMPORARY (GRS 1, item 13)
Destroy when 3 years old.

Cross-reference: NOAA Series Code 304-51

[NOTE: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

304-09 Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews

Authorized Disposition- TEMPORARY (GRS 1, item 9)
9) Destroy 1 year after case is closed.

Cross-reference: NOAA Records Series 304-30c

304-10

Employee Awards Files.

Documents pertaining to award programs, including suggestion awards. See 307-11h for labor-management relations awards and the NOTE below relating to department-level awards.

a. Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Authorized Disposition- TEMPORARY (GRS 1, item 12a)
(1) Destroy 2 years after approval or disapproval.

Cross-reference: NOAA Records Series 304-51a

b. Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Authorized Disposition- TEMPORARY (GRS 1, item 12a2)
12a2) Destroy when 2 years old.

Cross-reference: NOAA Records Series 304-51b

304-11

Length of Service and Sick Leave Awards Files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Authorized Disposition- TEMPORARY (GRS 1, item 12b)
Destroy when 1 year old.

Cross-reference: NOAA Records Series 304-51c

305 POSITION CLASSIFICATION, PAY AND ALLOWANCE FILES

These files relate to the classification and description of positions within NOAA, and to the pay and allowances authorized for these positions. See 402 for actual payroll files. See the Function 300 cover sheet for an explanation of the coding procedures used in this function.

305-01 Position Classification Standards Files.

Documents relating to the classification of positions within NOAA, describing the positions, and auditing them.

a. Position Classification Standards Files.

(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

Authorized Disposition- TEMPORARY (GRS 1, item 7a1)
Destroy when superseded or obsolete.

(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.

(a) Case file.

Authorized Disposition- TEMPORARY (GRS 1, item 7a2a)
Destroy 5 years after position is abolished or description is superseded.

(b) Review File.

Authorized Disposition- TEMPORARY (GRS 1, item 7a2b)
Destroy when 2 years old.

b. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Authorized Disposition- TEMPORARY (GRS 1, item 7a2b)
Destroy 2 years after position is abolished or description is superseded.

Cross-reference: NOAA Records Series 305-11

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Authorized Disposition- TEMPORARY (GRS 1, item 7c1a)
Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Cross-reference: NOAA Series Code 305-11c and 302-73.

Authorized Disposition- TEMPORARY (GRS 1, item 7c1b)
Destroy when obsolete or superseded.

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Authorized Disposition- TEMPORARY (GRS 1, item 7d1)
Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Authorized Disposition- TEMPORARY (GRS 1, item 7d2)
Destroy after affected position is abolished or superseded.

305-02 Pay Rate and System General Files.

Records created under implementation of the Federal Employees Pay Comparability Act and other documents relating to pay rates and systems in general including written narratives and computerized transaction registers documenting the use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

This series includes records previously filed under 305-30 Pay Rate and System General Files; 305-31 General Schedule Pay Files relating to correspondence and other documents relating to the general schedule pay system; 305-34 Other Pay System Files, correspondence and other documents relating to pay systems other

than the general schedule or wage system; 305-36 Grade and Pay Retention Files including documents pertaining to the application of grade and pay retention rights; 305-39 Pay System Conversion Files including documents relating to conversions between different pay systems; 305-40 Merit Pay System Files include documents relating to the pay aspects of the Merit Pay System. It does not include performance evaluation or other non-pay matters; 305-50 Pay Administration files such as entitlement to premium pay, lump sum payments for annual leave, allotments and assignments of pay, and similar subjects; 305-50 Pay Administration Files such as entitlement to premium pay, lump sum payments for annual leave, allotments and assignments of pay; 305-71 Preemployment Travel Pay Files relating to situations where travel and transportation cost can be paid for preemployment; and 305-91 Nonforeign Allowance and Differential Files relating to authorized allowances or differential pay for employees in nonforeign work areas.

Authorized Disposition- TEMPORARY (GRS 1, item 41)
Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.

305-03

Wage System Files.

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Authorized Disposition- TEMPORARY (GRS 1, item 38)
Destroy after completion of second succeeding wage survey.

Cross-reference: NOAA Records Series 305-32

305-04

Merit Promotion Case Files.

These records relate to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Authorized Disposition- TEMPORARY (GRS 1, item 32)
Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

Cross-reference: NOAA Records Series 303-35 and 305-40

306 ATTENDANCE AND LEAVE FILES

These files relate to attendance and leave matters. This subfunction does not apply to attendance and leave material for employees of the personnel office.

306-01 Hours of Duty Files.

Documents relating to the hours of duty of NOAA employees.

Authorized Disposition- TEMPORARY (Formerly NOAA 306-10)
Cut off at end of calendar year when created or when superseded,
whichever is appropriate. Destroy 3 years later.

306-02 Alternate Worksite Records.

a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Authorized Disposition- TEMPORARY (GRS 1, item 42)
Destroy 1 year after end of employee's participation in the program.

b. Unapproved requests.

Authorized Disposition- TEMPORARY (GRS1, item 42b)
Destroy 1 year after request is rejected.

c. Forms and other records generated by the agency on the participating employee evaluating the alternate worksite program.

Authorized Disposition- TEMPORARY (*GRS 1, item 42c*)
Destroy when 1 year old, or when no longer needed, whichever is later.

Cross-reference: NOAA Records Series Code 306-20

306-03

Absence and Leave Files.

Documents relating to questions of absence and leave.

Authorized Disposition- TEMPORARY (Formerly NOAA 306-30)

Cut off at end of calendar year when created or when superseded or obsolete, whichever is appropriate. Destroy 3 years later.

306-04

Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. *Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.*

Authorized Disposition- TEMPORARY (GRS 1, item 37)

Cut off at end of calendar year when created or when superseded or obsolete, whichever is appropriate. Destroy 3 years later.

[**NOTE:** See NOAA subfunction 200-31 for Time and Attendance Input Records; 200-32 for Time and Attendance Source Records; and NOAA subfunction 400 for Time and Attendance Card Files and Leave Applications Files.]

307 PERSONNEL RELATIONS AND SERVICES FILES

These files relate to many areas of management-employee relations, including unions, EEO programs, and grievance system.

307-01 Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Authorized Disposition- TEMPORARY (GRS 1, item 28a1)
Destroy 5 years after expiration of agreement.

(2) Other offices.

Authorized Disposition- TEMPORARY (GRS 1, item 28a2)
Destroy when superseded or obsolete.

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Authorized Disposition- TEMPORARY (GRS 1, item 28b)
Destroy 5 years after final resolution of case.

Cross-reference: NOAA Records Series Code 307-11

307-02 Equal Employment Opportunity (EEO) Records.

a. Official Discrimination Compliant Case Files. (See NOAA Records Schedule 810-01)

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Authorized Disposition- TEMPORARY (GRS 1, item 25b)
Destroy 1 year after resolution of case.

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Authorized Disposition- TEMPORARY (GRS 1, item 25c1)
Destroy 2 years after final resolution of case.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Authorized Disposition- TEMPORARY (GRS 1, item 25c2)
Destroy when 2 years old.

307-03 **Voluntary Separation or Reduction Files.**

Documents concerning employees voluntarily separating themselves or taking reductions in rank or pay. Does not include the personnel actions relating to the individual, which would be filed in the OPF.

Authorized Disposition- TEMPORARY (Formerly NOAA 307-15)
Cut off at end of calendar year when created. Destroy 3 years later.

307-04 **Suitability Files.**

Documents relating to factors used to judge and rate the suitability of employees or applicants, based on legal, political, or similar problems or activities. Also actions which may be taken in response to suitability problems.

Authorized Disposition- TEMPORARY (GRS 18, item 23b)
Destroy in accordance with the investigating agency instructions.

Cross-reference: NOAA Records Series Code 307-31

307-05 **Personnel Security Files.**

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the

processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Authorized Disposition- TEMPORARY (GRS 18, item 22a)
Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

Cross-reference: NOAA Records Series Code 307-32

b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Authorized Disposition- TEMPORARY (GRS 18, item 22b)
Destroy in accordance with the investigating agency instructions.

Cross-reference: NOAA Records Series Code 307-36

c. Index to the Personnel Security Case Files.

Authorized Disposition- TEMPORARY (GRS 18, item 22c)
Destroy with related case file.

307-06

Employee Political Activity Files.

Documents relating to political activity by NOAA employees.

Authorized Disposition- TEMPORARY (Formerly NOAA 307-33)
Cut off at end of calendar year when created. Destroy 3 years later.

307-07

Absentee Balloting for Overseas Employee Files.

Documents relating to numbers of employees participating in the absentee balloting process.

Authorized Disposition- TEMPORARY (Formerly NOAA 307-90)
Cut off at end of calendar year when created. Destroy 3 years later.

307-08

Financial Disclosure Reporting Files.

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report

reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

(1) SF-278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.

Authorized Disposition- TEMPORARY (GRS 25, item 2a1)
Destroy 1 year after nominee or candidate ceases to be under consideration for the position; **EXCEPT** that documents needed in an ongoing investigation will be retained until no longer needed in the investigation .

(2) All other SF 278s.

Authorized Disposition- TEMPORARY (GRS 25, item 2a2)
Destroy when 6 years old; **EXCEPT** that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.

(1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

Authorized Disposition- TEMPORARY (GRS 25, item 2b1)
Destroy 1 year after nominee ceases to be under consideration for the position; **EXCEPT** that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

307-09

Administration, Disciplinary, and Adverse Action Files. [See note after item 30b.]

a. Administrative Grievance Files.

Records relating to grievances 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.

Authorized Disposition: TEMPORARY (GRS 1, item 30a)
destroy no sooner than 4 years but no later than 7 years after case is closed.

Cross-reference: NOAA Records Series Codes 307-71 and 307-72

b. Adverse Action Files and Performance-Based Actions.

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, **EXCLUDING** letters of reprimand which are filed in the OPF.

Authorized Disposition- TEMPORARY (GRS 1, item 30b)
Destroy no sooner than 4 years but no later than 7 years after case is closed.

Cross-reference: NOAA Records Series Codes 307-52, 307-54, and 307-72

[**NOTE:** OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the agency's records disposition manual, and any other issuance dealing with the disposition of these records. (N1-GRS-92-1 item 30 Note)]

307-10

Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

Authorized Disposition- TEMPORARY (GRS 1, item 26a)
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. Also includes counseling given in relation to such programs.

Authorized Disposition- TEMPORARY (GRS 1, item 26b)
Destroy when 3 years old.

Cross-reference: NOAA Records Series Code 307-92

307-11

Federal Workplace Drug Testing Program Files.

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Authorized Disposition- TEMPORARY (GRS 1, item 36a)
Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).]

b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Authorized Disposition- TEMPORARY (GRS 1, item 36b)
Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).]

c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Authorized Disposition- TEMPORARY (GRS 1, item 36c)
Destroy when 3 years old. [See note (2) after item 36e(2).]

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Authorized Disposition- TEMPORARY (GRS 1, item 36d2)
Destroy when 3 years old. [See note (2) after item 36e(2).]

Applicants not accepted for employment.

Authorized Disposition- TEMPORARY (GRS 1, item 36e2b)
Destroy when 3 years old [See note (2) after item 36e(2).]

(2) Negative results.

Authorized Disposition- TEMPORARY (GRS 1, item 36e1)
Destroy when 3 years old.

Cross-reference: NOAA Records Series Code 307-92

[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigations or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s). (N1-GRS-98-1 Notes 1 and 2)]

307-12

Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Authorized Disposition- TEMPORARY (GRS 1, item 34)
Destroy when 5 years old.

Cross-reference: NOAA Records Series Code 307-92

307-13

Personal Injury Files.

These 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 Employee Medical Folder and copies submitted to the Department of Labor.

Authorized Disposition- TEMPORARY (GRS 1, item 31)
Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

308 INSURANCE AND ANNUITIES FILES

These files relate to insurance and annuities programs for NOAA employees.

308-01 Retirement Assistance Files.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees, separating employees, or survivors in claiming insurance or retirement benefits.

Authorized Disposition- TEMPORARY (GRS 1, item 39)
Cut off annually. Destroy when 1 year old.

Cross-reference: NOAA Records Series Codes 308-31

308-02 Social Security Retirement, Survivor's Insurance, Disability Insurance, and Medicare files.

Documents relating to these programs.

Authorized Disposition- TEMPORARY (Formerly NOAA 308-32)
Cut off at end of calendar year when created. Destroy 3 years later.

308-03 Unemployment Compensation Records.

Documents relating to eligibility, claims, etc., of NOAA employees (or ex-employees) to unemployment benefits.

Authorized Disposition- TEMPORARY (Formerly NOAA 308-50)
Cut off at end of calendar year when created. Destroy 3 years later.

308-04 Health Benefits Files.

Documents relating to the operation of the health benefits program for NOAA personnel.

Authorized Disposition- TEMPORARY (Formerly NOAA 308-90)
Cut off at end of calendar year when created. Destroy 3 years later.

308-05 Denied Health Benefits Requests Under Spouse Equity. [See note after item, 35b(2).]

Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

a. Health benefits denied, not appealed.

Authorized Disposition- TEMPORARY (GRS 1, item 35a)
Destroy 3 years after denial.

b. Health benefits denied, appealed to OPM for reconsideration.

(1) Appeal successful - benefits granted.

Authorized Disposition- TEMPORARY (GRS 1, item 35b1)
Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook. Spouses eligible for benefits files are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment, as stated in the note below.

[NOTE: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

(2) Appeal unsuccessful - benefits denied.

Authorized Disposition- TEMPORARY (GRS 1, item 35b2)
Destroy 3 years after denial.

308-06 **Life Insurance Program Files.**

Documents relating to the operation of the life insurance program for NOAA personnel.

Authorized Disposition- TEMPORARY (Formerly NOAA 308-90)
Cut off at end of calendar year when created. Destroy 3 years later.

308-07 **Injury Compensation Files.**

Documents relating to injury compensation cases within NOAA.

Authorized Disposition- TEMPORARY (Formerly NOAA 308-10)
Cut off at end of calendar year when created. Destroy 3 years later.

309 MISCELLANEOUS PERSONNEL PROGRAM FILES

These files relate to personnel program not otherwise covered in this functional area.

309-01 Mobilization Readiness Files.

These documents relate to preparations to enable vital personnel functions to continue after a national emergency.

Authorized Disposition- TEMPORARY (GRS 18, item 27)
Cut off at end of calendar year when created or when superseded, whichever is appropriate. Destroy 3 years later.

Cross-reference: NOAA Records Series 309-10

309-02 Senior Executive Service Files.

Guidelines on the position coverage of the Senior Executive Service.

Authorized Disposition- TEMPORARY (Formerly NOAA 309-20)
Cut off at end of calendar year when created or when superseded, whichever is appropriate. Destroy 3 years later.

309-03 Fund and Other Drive Files.

Documents relating to charity fund drives, blood donor campaigns, and similar programs.

Authorized Disposition- TEMPORARY (Formerly NOAA 307-10)
Cut off at end of calendar year when created. Destroy 3 years later.

311 NOAA CORPS PERSONNEL RECORDS

NOAA Corps Official Personnel Folder (OPF).

These files include the Official Personnel Folders for members of the NOAA Corps, **only**. For civilian personnel files, see subfunction 302 through 310 of this schedule. These files include documents as prescribed in NOAA Corps Directives Chapter 01, Part 6, *Official Personnel Records Management*.

311-01 Officer Personnel Folder.

Consists of career documentation, education and training, performance, accession and separation, assignment, and personal and dependency documents.

Authorized Disposition-

a. Long-term documents PERMANENT (Formerly 311-02)
Place in inactive file upon retirement or death of individual. Transfer
1 year later to the National Personnel Records Center (CPR), St. Louis, MO.

b. Temporary documents
Destroy when superseded or becomes obsolete in accordance with NOAA Corps Directives Chapter 01, Part 6, *Official Personnel Records Management*.

311-02 Officer Medical Folder.

Consists of history of medical care, medical treatment, laboratory reports, imaging studies, dental, electrocardiograms, miscellaneous, and correspondence files.

Authorized Disposition-

a. Long-term documents PERMANENT (Formerly 311-02)
Place in inactive file upon retirement or death of individual. Transfer
1 year later to the National Personnel Records Center (CPR), St. Louis, MO.

b. Temporary documents
Destroy when superseded or becomes obsolete in accordance with NOAA Corps Directives Chapter 01, Part 6, *Official Personnel Records Management*.

312 Equal Employment Opportunity Files (EEO)

312-01 Equal Employment Opportunity (EEO) Records.

a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Authorized Disposition- TEMPORARY (GRS 1, item 25a)
Destroy 4 years after resolution of case.

Cross-reference NOAA Records Series 307-13 n1.

b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Authorized Disposition- TEMPORARY (GRS 1, item 25b)
Destroy 1 year after resolution of case.

Cross-reference NOAA Records Series 307-13 n2.

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Authorized Disposition- TEMPORARY (GRS 1, item 25c1)
Destroy 2 years after final resolution of case.

Cross-reference NOAA Records Series 307-13 n3.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Authorized Disposition- TEMPORARY (GRS 1, item 25c2)
Destroy when 2 years old.

d. Compliance Records.

(1) Compliance Review Files.

These files contain reviews, background documents, and correspondence relating to contractor employment practices.

Authorized Disposition- TEMPORARY (GRS 1, item 25d1)
Destroy when 7 years old.

(2) EEO Compliance Reports.

Authorized Disposition- TEMPORARY (GRS 1, item 25d2)
Destroy when 3 years old.

e. EEO Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Authorized Disposition- TEMPORARY (GRS 1, item 25e)
Destroy when 1 year old.

f. Employment Statistics Files. [See note after this item.]

These documents consist of employment statistics relating to race and sex.

Authorized Disposition- TEMPORARY (GRS 1, item 25f)
Destroy when 5 years old.

[NOTE: Electronic master files and data bases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

Cross-reference NOAA Records Series 307-13 j.

g. 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.

Authorized Disposition- TEMPORARY (GRS 1, item 25g)
Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

Cross-reference NOAA Records Series 307-13 b.

h. EEO Affirmative Action Plans (AAPs).

(1) Agency copy of consolidated AAP(s).

Authorized Disposition- TEMPORARY (GRS 1, item 25h1)
Destroy 5 years from date of plan.

Cross-reference NOAA Records Series 307-13e.

(2) Agency feeder plan to consolidated AAP(s).

Authorized Disposition- TEMPORARY (GRS 1, item 25h2)
Destroy 5 years from date of feeder plan or when administrative purposes
have been served, whichever is sooner.

Cross-reference NOAA Records Series 307-13d.

(3) Report of on-site reviews of Affirmative Action Programs.

Authorized Disposition- TEMPORARY (GRS 1, item 1)
Destroy 5 years from date of report.

(4) Agency copy of annual report of Affirmative Action accomplishments.

Authorized Disposition- TEMPORARY (GRS 1, item 26h4)
Destroy 5 years from date of report.

Cross-reference: NOAA Records Series Code 307-13

312-02

Alternative Dispute Resolution (ADR) Files.

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

[NOTE: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or

EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Authorized Disposition- TEMPORARY (GRS 1, item 27a)
Destroy when 3 years old. Longer retention is authorized if records are needed for agency business.

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Authorized Disposition- TEMPORARY (GRS 1, item 27b)
Destroy 3 years after settlement is implemented or case is discontinued.