

(Revised on 04/2018 to include Updates to: General Records Schedule (GRS) 2.7, Employee Health and Safety Records and additional updates to GRS 2.1; and

Revised on 09/2017 to include Updates to: (GRS) 2.1, Employee Acquisition Records; 2.2 Employee Management Records; 2.3, Employee Relations Records; 2.4, Employee Compensation and Benefits Records; and 2.5, Employee Separation Records).

NOAA Records Schedules

Chapter 300

Personnel Management Files

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. 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. The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to [The Guide to Personnel Recordkeeping](#), an OPM manual that prescribes a system of recordkeeping for Federal personnel.

Table of Contents

Subfunctions:

300	Employee Acquisition Records (Formerly Recruitment & Selection Records) Updated by GRS 2.1 on 2/2018
300-01	Classification Standards
300-02	Position Descriptions
300-03	Position Reviews and Classification Appeals
300-04	Certificates of Classification
300-05	Job Vacancy Case Files
300-06	Job Application Packages
300-07	Case Files on Lost or Exposed Job Test Materials
300-08	Requests for non-Competitive Personnel Action
300-09	Interview Records
300-10	Political Appointment (Schedule C) Records
300-11	Excepted Service Appointment Records
300-12	Special Hiring Authority Program Records

300-13 Records Related to Individual Employees Hired Under Special Temporary Authority

300-14 Pre-appointment Files

300-15 Records of Delegation of Authority for Examination and Certification

301 Employee Management Records

301-01 Employee Management Administrative Records

301-02 Workforce and Succession Planning Records

301-03 Employee Incentive Award Records

301-04 Official Personnel Folder (OPF)/Electronic OPF (eOPF)

301-05 Notifications of Personnel Actions

301-06 Employment Eligibility Verification Records

301-07 Employee Performance File System Records

301-08 Records of Senior Executive Service Employees

301-09 Supervisors' Personnel Files

301-10 Volunteer Service Program Administrative Records

301-11 Volunteer Service Case Files

301-12 Skill Set Records

302 Employee Relations Records

302-01 Alternative Dispute Resolution (ADR) Records

302-02 Reasonable Accommodation Records

302-03 EEO Program Files

302-04 EEO Official Discrimination Complaint Case Files – Informal Process

302-05 EEO Official Discrimination Complaint Case Files – Formal Process

302-06 EEO Case Files that did not Result in an EEO Complaint

302-07 EEO Compliance Review Files

302-08 EEO Reports and Employment Statistics Files

302-09 Anti-harassment Records

302-10 Labor Management Relations Agreement Negotiation Records

302-11 Administrative Grievance, Disciplinary, and Adverse Action Files

302-12 Displaced Employee Program Files

302-13 Telework/Alternate Worksite Records

303 Employee Compensation and Benefits Records

303-01 Donated Leave Program Administrative Records

303-02 Donated Leave Program Individual Case Files

303-03 Wage Survey Files

303-04 Incentive Package Records

303-05 Workers' Compensation (Personnel Injury Compensation) Records

303-06 Requests for Health Benefits under Spouse Equity

303-07 Child Care Subsidy Program Administrative Records

303-08 Child Care Subsidy Program Individual Case Files

303-09 Family Medical Leave Act Program Administrative Records

303-10 Family Medical Leave Act Program Individual Case Files

304 Employee Separation Records

304-01 Separation Program Management Records

304-02 Individual Employee Separation Case Files

304-03 Records Documenting Capture of Institutional and Specialized Knowledge

304-04 Individual Employee Separation Records Required to be Placed in Separating Employee's OPF

304-05 Phased Retirement Administrative Records

304-06 Phased Retirement Individual Case Files

305 Employee Training Records (Previously, Subfunction 304, Employee Performance, Utilization, and Training Files, have been moved to NOAA Records Series 203-04, Training and Workshop Records)

306 Employee Health and Safety Records

306-01 Clinic Scheduling Records

306-02 Non-occupational Individual Medical Case Files

306-03 Non-occupational Health and Wellness Program Records

306-04 Employee Assistance Program (EAP) Counseling Records

306-05 Employee Drug Test Plans, Procedures, and Scheduling Records

306-06 Employee Drug Test Acknowledgment of Notice Forms

306-07 Employee Drug Testing Specimen Records

306-08 Employee Drug Test Results

307 NOAA Corps Official Personnel Folder (OPF) **Change in Numbering System from 305 to 306 to Accommodate GRS 2.7, Employee Health and Safety Records

307-01 Officer Personnel Folder

307-02 Officer Medical Folder

Employee Acquisition Records (GRS 2.1)

This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies' employee selection processes. Its procedural rules and best practices are spelled out in its "Delegated Examining Operations Handbook." This schedule reflects OPM's determinations on appropriate records retention periods. This schedule applies only to civilian employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
300	Employee Acquisition Records	<p>This schedule provides disposition authority for records agencies create and receive in the course of bringing employees into the Federal workforce.</p> <p>“Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices” covers in detail how agencies with authority to hire employees, as delegated from the Office of Personnel Management, are to carry out this function. Appendix C is the schedule for records created in that process. Appendix C derives from GRS 1, items 33a through 33t. All but two items in GRS 1 are superseded (and the other two are rescinded) by new GRS 2.1. GRS 1 items and Appendix Care now superseded by GRS 2.1.</p>		
300-01	Classification Standards.	<p>Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval.</p> <p>Exclusion: OPM’s case files on classification standards are not covered by this item.</p>	<p>DAA-GRS-2014-0002-0001 (GRS 2.1, item 010)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01a(2)a, Position Classification Standards Files – Case File,</i></p>	<p>TEMPORARY. Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but</p>

		<p>NOTE:</p> <ol style="list-style-type: none"> 1. NOAA Schedule Item 305-01a1, Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency, (GRS 1, item 7a(1), and 2. NOAA Schedule Item 305-01a2b, Review Files (GRS 1, item 7a(2)(b) <p>Both above items were rescinded by GRS Transmittal 28.</p>	<p>(GRS 1, item 7a(2)a), Case File); and</p> <p><i>305-01b, Position Classification Standards Files – Review File (GRS 1, item 7a2b)</i></p>	<p>longer retention is authorized if required for business use.</p>
300-02	Position Descriptions.	<p>Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p> <p>NOTE:</p> <ol style="list-style-type: none"> 1. NOAA Schedule Item 305-01c1, Classification survey reports on various positions prepared by classification specialists, including periodic reports (GRS 1, item 7c(1), and 2. NOAA Schedule Item 305-01c2, Inspection, audit, and survey Files, (GRS 1, item 7c(2) <p>Both above items were rescinded by GRS Transmittal 28.</p>		
		<p>a. Official record copy of position description.</p> <p>Copy held at Human Resources office.</p>	<p>DAA-GRS-2014-0002-0002 (GRS 2.1, item 020)</p>	<p>TEMPORARY. Destroy 2 years after position is</p>

			<p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01b, Position Descriptions (GRS 1, item 7b)</i></p>	abolished or description is superseded, but longer retention is authorized if required for business use.
		<p>b. Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file.</p>	<p>DAA-GRS-2014-0002-0002 (GRS 2.1, item 021)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01b, Position Descriptions (GRS 1, item 7b)</i></p>	<p>TEMPORARY. Destroy in accordance with disposal instructions for associated file. (See GRS 2.2 section on OPFs.)</p>
		<p>c. All other related records. Includes:</p> <ul style="list-style-type: none"> • case file at position's program office • background material in Human Resources case file • other copies of records in item 020 	<p>DAA-GRS-2014-0002-0003 (GRS 2.1, item 022)</p> <p>New Item</p>	<p>TEMPORARY. . Destroy when position description is final, but longer retention is authorized if required for business use.</p>
300-03	Position Reviews and Classification Appeals.	<p>Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits.</p> <p>Exclusion: OPM's corresponding case file is not</p>	<p>DAA-GRS-2014-0002-0004 (GRS 2.1, item 030)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01d(1), Case Files</i></p>	<p>TEMPORARY. Destroy 3 years after final decision, but longer retention is authorized if required for</p>

		covered by this item.	<i>Relating to Classification Appeals</i> (GRS 1, item 7d1)	business use.
300-04	Certificates of Classification.	<p>Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p> <p>Exclusion: OPM's file is not covered by this item.</p>	<p>DAA-GRS-2014-0002-0005 (GRS 2.1, item 040)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>305-01d2, Certificate of Classification,</i> (GRS 1, item 7d2)</p>	TEMPORARY. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.
300-05	Job Vacancy Case Files.	<p>Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> • request for lists of eligible candidates • job announcement • examination announcement • job analysis, assessment criteria, and crediting plan • basis for certification • applications, resumes, supplemental forms, other attachments • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records 		

		<ul style="list-style-type: none"> • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation <p>Legal citation: 5 CFR 335.103</p>		
		a. Records of one-time competitive and Senior Executive Service announcements/ selections.	DAA-GRS-2017-0011-0001 (GRS 2.1, item 050) <i>Supersedes NOAA Schedule Item:</i> 303-02, Certificate of Eligibles Files (GRS 1, item 5, in part)	TEMPORARY. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.
		b. Records of standing register competitive files for multiple positions filled over a period of time.	DAA-GRS-2017-0011-0002 (GRS 2.1, item 051) <i>Supersedes NOAA Schedule Item:</i> 303-02, Certificate of Eligibles Files (GRS 1, item 5, in part)	TEMPORARY. Destroy 2 years after termination of register.
300-06	Job Application Packages.	Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes: <ul style="list-style-type: none"> • application 	DAA-GRS-2014-0002-0011 (GRS 2.1, item 060) <i>Supersedes NOAA</i>	TEMPORARY. Destroy 1 year after date of submission.

		<ul style="list-style-type: none"> • resume • supplemental forms • other attachments <p>Note: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files 300-05a and 300-05b (Items 050 and 051).</p>	<p><i>Schedule Item:</i></p> <p><i>303-01 b(1), Offer of Employment File (GRS 1, item b1);</i></p> <p><i>303-01 b(2), Temporary or excepted appointment (GRS 1, item b2);</i></p> <p><i>303-01 b(3), All others appointment (GRS 1, item b3);</i></p> <p><i>303-03k, Examining and Certification Records - Cancelled and ineligible applications for positions filled from a register or inventory (GRS 1, item 33k);</i></p> <p><i>303-03kl1, On active register or inventory (GRS 1, item 33kl1);</i></p> <p><i>303-03kl2, On inactive register or inventory (GRS 1, item 33kl2);</i></p>	
--	--	--	---	--

			<p><i>303-03m, Ineligible or incomplete applications for positions filled by case examining (GRS 1, item 33m); and</i></p> <p><i>303-03n. 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 (GRS 1, item 33n)</i></p>	
300-07	Case Files on Lost or Exposed Job Test Materials.	Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.	<p>DAA-GRS-2014-0002-0012 (GRS 2.1, item 070)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-03j, Lost or Exposed Test Material Case Files (GRS 1, item 33j)</i></p>	TEMPORARY. Destroy 5 years after date of final report.
300-08	Requests for non-Competitive Personnel Action.	Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.	<p>DAA-GRS-2014-0002-0013 (GRS 2.1, item 080)</p> <p><i>Supersedes NOAA</i></p>	TEMPORARY. Destroy 1 year after approval is granted or denied.

			<p><i>Schedule Item:</i></p> <p><i>303-03o, Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status</i> (GRS 1, item 33o)</p>	
300-09	Interview Records.	<p>Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> • copies of records in the job vacancy case file 300-05a and 300-05b (item 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation <p>Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.</p>	<p>DAA-GRS-2014-0002-0008 (GRS 2.1, item 090)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-21, Interview Files</i> (GRS 1, item 8)</p>	<p>TEMPORARY. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.</p>
300-10	Political Appointment (Schedule C) Records.	<ul style="list-style-type: none"> • Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes: • applications for employment • resumes 		

		<ul style="list-style-type: none"> • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>		
		a. Records (except ethics pledges and waivers) related to appointees.	DAA-GRS-2014-0002-0014 (GRS 2.1, item 100) <i>New Item</i>	TEMPORARY. Destroy after separation. Retention up to end of administration under which individual was hired is authorized if required for business use.
		b. Ethics pledges and waivers of appointees.	(GRS 2.1, item 101) <i>New Item</i>	File in appointee's Official Personnel File, per Executive Order 13490.
		c. Records related to non-appointees.	DAA-GRS-2014-0002-0015 (GRS 2.1, item 102)	TEMPORARY. Destroy 1 year after consideration of the

			New Item	candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.
300-11	Excepted Service Appointment Records.	<p>Records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance <p>Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>		

		a. Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).	DAA-GRS-2014-0002-0018 (GRS 2.1, item 110) <i>Supersedes NOAA Schedule Item:</i> <i>303-04, Handicapped Individuals Appointment Case Files</i> (GRS 1, item 40)	TEMPORARY. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.
		b. Case files related to all other appointees.	DAA-GRS-2014-0002-0019 (GRS 2.1, item 111) <i>New Item</i>	TEMPORARY. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.
300-12	Special Hiring Authority Program Records.	Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.	DAA-GRS-2014-0002-0016 (GRS 2.1, item 120) <i>New Item</i> <i>Supersedes NOAA Schedule Items:</i> <i>303-07, Student employment and Work Study Program Files.</i> <i>303-07a, Junior Fellow Program Files;</i>	TEMPORARY. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.

			<p><i>303-07b, COOP Program files;</i></p> <p><i>303-07c, University Files, including correspondence to Universities;</i></p> <p><i>303-07d, University Agreement Files;</i></p> <p><i>303-07e, Student Files;</i></p> <p><i>303-17, Career Intern Program Files;</i></p> <p><i>303-17a, Individual Intern Folders; and</i></p> <p><i>303-17b, Other Program Material; and</i></p> <p><i>303-28, Employment of Relatives Files</i></p>	
300-13	Records Related to Individual Employees Hired Under Special Temporary Authority.	Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.	<p>DAA-GRS-2014-0002-0017 (GRS 2.1, item 130)</p> <p><i>New Item</i></p> <p><i>Supersedes NOAA</i></p>	<p>TEMPORARY. Destroy 2 years after employee is converted to a permanent position or leaves a program</p>

			<i>Schedule Items:</i> <i>303-11, Temporary or Indefinite Employment Files</i>	but longer retention is authorized if required for business use.
300-14	Pre-appointment Files.	Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.	(GRS 2.1, item 140) <i>New Item</i>	
		a. Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Included are forms in the SF-85 family, finger print charts, and related correspondence.	<i>New Item</i> (GRS 2.1, item 140) <i>No authority, filing instruction only.</i>	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.
		b. Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.		
		(1) Records concerning prospective employees who enter on duty.	(GRS 2.1, item 141) <i>New Item</i> <i>No authority, filing instruction only.</i>	Forward to appropriate human resources office to include in OPF after employee enters on duty.
		(2) Records concerning prospective employees who do not enter on duty.	DAA-GRS-2014-0002-0009 (GRS 2.1, item 142) <i>New Item</i>	TEMPORARY. Destroy 1 year after prospective employee is no longer a candidate.

		c. Copies of records included in Job vacancy case file (items 050 or 051).	DAA-GRS-2014-0002-0010 (GRS 2.1, item 143) <i>New Item</i>	TEMPORARY. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.
300-15	Records of Delegation of Authority for Examination and Certification.	a. Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment. Exclusion: OPM's records are not covered by this item.	DAA-GRS-2014-0002-0021 (GRS 2.1, item 150) <i>Supersedes NOAA Schedule Item:</i> <i>303-03a, Examining and Certification Records – Delegated Agreements (GRS 1, item 33a)</i>	TEMPORARY. Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.
		b. Delegated authority audits. Reports of delegated examining operations audit delivered to the audited agency. Exclusion: OPM's records are not covered by this item.	DAA-GRS-2014-0002-0022 (GRS 2.1, item 160) <i>Supersedes NOAA Schedule Item:</i> <i>303-03t, Reports of audits of delegated examining operations (GRS 1, item 33t)</i>	TEMPORARY. Destroy when 3 years old but longer retention is authorized if required for business use.

Employee Management Records (GRS 2.2)

This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
301	Employee Management Records			
301-01	Employee Management Administrative Records.	<p>Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders 	<p>DAA-GRS-2017-0007-0001 (GRS 2.2, item 010)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>301-01, Intra-management Communications Files</i></p> <p><i>302-04c, All other correspondence and forms</i> (GRS 1, item 17c)</p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>

		<p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>	<p><i>302-05, Personnel Correspondence and Subject Files</i> (GRS 1, item 3)</p> <p><i>302-07, Personnel Reports File</i> (GRS 1, item 16)</p> <p><i>302-08, Personnel Correspondence File</i> (GRS 1, item 3)</p>	
301-02	Workforce and Succession Planning Records.	<p>Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	<p>DAA-GRS-2017-0007-0002 (GRS 2.2, item 020)</p> <p>New Item</p>	<p>TEMPORARY. Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p>
301-03	Employee Incentive Award Records.	<p>Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and</p>	<p>DAA-GRS-2017-0007-0003 (GRS 2.2, item 030)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy when 2 years old or 2 years after award is approved or</p>

		<p>time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.</p> <p>Exclusion: Records of Department-level awards require agency-specific schedules.</p>	<p><i>304-10a, Employee Awards Files - 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</i> (GRS 1, item 12a1)</p> <p><i>304-10b, Correspondence pertaining to awards from other Federal agencies or non-Federal organizations</i> (GRS 1, item 12a2)</p> <p><i>304-11, Records including correspondence, reports, computations of service and sick leave, and lists of awardees</i> (GRS 1, item 12b)</p> <p><i>304-06, Copies of letters recognizing length of service and retirement and</i></p>	<p>disapproved, whichever is later, but longer retention is authorized if required for business use.</p>
--	--	--	--	--

			<p><i>letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF</i> (GRS 1, item 12c)</p> <p><i>304-07, Lists of or Indexes to Agency Award Nominations</i> (GRS 1, item 12d)</p> <p><i>304-08, Reports pertaining to the operation of the Incentive Awards Program</i> (GRS 1, item 13) – Rescinded by TM 28</p>	
301-04	Official Personnel Folder (OPF)/Electronic OPF (eOPF).	<p>The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p>Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, item 020, Intermediary Records, which is NOAA Schedule</p>		

		Item 200-07.		
		<p>a. Long-term records. Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p>Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</p> <p>Note: 302-01a (GRS 1, item 1a) OPFs – <i>Transferred Employees was Rescinded by GRS Transmittal 28.</i></p>	<p>DAA-GRS-2017-0007-0004 (GRS 2.2, item 040)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p>302-01b, <i>Official Personnel Folders (OPFs) of Federal Employees - Separated employees (GRS 1, item 1b)</i></p>	<p>TEMPORARY. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p>
		<p>b. Short-term records. Records of separated employees saved to the “temporary” folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p>Exclusion: USCIS Form I-9 and performance-related records. See 301-06 for I-9 Forms; and 301-07a, 301-07b, and 301-08b for disposition of temporary performance-related records.</p>	<p>DAA-GRS-2017-0007-0005 (GRS 2.2, item 041)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p>302-02a, <i>Official Personnel Folders (OPFs) of Federal Employees - Transferred employees (GRS 1, item 10a)</i></p>	<p>TEMPORARY. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p>
301-05	Notifications of Personnel Actions.	Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human	<p>DAA-GRS-2017-0007-0006 (GRS 2.2, item 050)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy when business use ceases.</p>

		<p>Resources offices.</p> <p>Exclusion: SF-50s filed in the OPF. 301-04a and 301-04b of this schedule cover these records.</p>	<p><i>302-03a, Notifications of Personnel Actions - Chronological file copies, including fact sheets, maintained in personnel offices</i> (GRS 1, item 14a)</p> <p><i>302-03b, Notifications of Personnel Actions - All other copies maintained in personnel offices</i> (GRS 1, item 14b)</p> <p><i>302-04a, Correspondence and Forms Files - Correspondence and forms relating to pending personnel actions</i> (GRS 1, item 17a)</p>	
301-06	Employment Eligibility Verification Records.	Employment Eligibility Verification form I-9 and any supporting documentation.	<p>DAA-GRS-2017-0007-0007 (GRS 2.2, item 060)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>304-10b, Temporary Individual Employee Records - Immigration and Naturalization Service Form I-9</i> (GRS 1, item 10b)</p>	TEMPORARY. Destroy 3 years after employee separates from service or transfers to another agency.

301-07	Employee Performance File System Records.	<p>Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.</p> <p>Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p>		
		<p>a. Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by 301-08b of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>DAA-GRS-2017-0007-0008 (GRS 2.2, item 070)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>304-05a3a, Latest rating of record 3 years old or less</i> (GRS 1, item 23a3a)</p> <p><i>304-05a3b, All other performance plans</i> (GRS 1, item 23a3b)</p> <p><i>304-05a4, All other summary performance appraisal records</i> (GRS 1, item 23a4)</p> <p><i>304-05a5, Supporting documents</i></p>	<p>TEMPORARY. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>

			(GRS 1, item 23a5a)	
		<p>b. Unacceptable performance appraisals of non-senior executive service employees.</p> <p>Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p>Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p>	<p>DAA-GRS-2017-0007-0009 (GRS 2.2, item 071)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>304-05a(1), Appraisals of unacceptable performance (GRS 1, item 23a1)</i></p>	<p>TEMPORARY. .</p> <p>Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.</p>
301-08	Records of Senior Executive Service Employees.	<p>a. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>DAA-GRS-2017-0007-0010 (GRS 2.2, item 072)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>304-09, Performance Rating Board Case Files (GRS 1, item 9)</i></p> <p><i>304-05b1). Performance records superseded through an administrative, judicial, or quasi-judicial</i></p>	<p>TEMPORARY.</p> <p>sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>

			<p><i>procedure</i> (GRS 1, item23b2b)</p> <p><i>304-05b2b, All other performance ratings and plans</i> (GRS 1, item23b2b)</p> <p><i>304-05b3, All other performance appraisals, along with job elements and standards upon which they are based EXCLUDING those for SES appointees serving on a Presidential appointment</i> (GRS 1, item23b3)</p> <p><i>304-05b4, Supporting documents</i> (GRS 1, item23b4)</p>	
		<p>b. Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>DAA-GRS-2017-0007-0011 (GRS 2.2, item 073)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>304-05a2, Performance records superseded through an administrative, judicial, or quasi-judicial procedure</i> (GRS 1, item23a2)</p>	<p>TEMPORARY. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>

			304-05b1, Performance records superseded through an administrative, judicial, or quasi-judicial procedure (GRS 1, item 23b1)	
301-09	Supervisors' Personnel Files.	<p>Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p>Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p>	<p>DAA-GRS-2017-0007-0012 (GRS 2.2, item 080)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p>303-22a, Supervisors' Personnel Files (GRS 1, item 18a)</p> <p>303-22b, Duplicate Documentation (GRS 1, item 18b)</p>	TEMPORARY. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.
		Follow the guidance and disposition of NOAA Records Series 402-09, for Records Related to Official Passports (GRS 2.2, item 090 through GRS 2.2, item		

		092)		
301-10	Volunteer Service Program Administrative Records.	Records documenting routine administration, internal procedures, and general activities, including: <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities 	DAA-GRS-2017-0007-0015 (GRS 2.2, item 100) <i>New Item</i>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
301-11	Volunteer Service Case Files.	Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include: <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked 		
		Case files on volunteers. Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 301-04a and 301-04b of this schedule cover these records.	DAA-GRS-2017-0007-0016 (GRS 2.2, item 110) <i>New Item</i>	TEMPORARY. Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.
		Case files on individuals whose applications were rejected or withdrawn.	DAA-GRS-2017-0007-0017 (GRS 2.2, item 111)	TEMPORARY. Destroy when 1

			<i>New Item</i>	year old.
301-12	Skill Set Records.	<p>Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p>Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p>	<p>DAA-GRS-2017-0007-0018 (GRS 2.2, item 120)</p> <p><i>New Item</i></p>	TEMPORARY. Destroy when business use ceases.

Employee Relations Records (2.3)

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
302	Employee Relations Records			
302-01	Alternative Dispute Resolution (ADR) Records.	ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, 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, or between the agency and the union(s).		

		<p>a. ADR program files. This item refers to the program management and routine activities of offices running ADR processes. Includes:</p> <ul style="list-style-type: none"> • program-related correspondence (excludes case-related correspondence) • copies of statutes, regulations • meeting minutes • final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended • copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices) • evaluation records of the ADR program <p>other records relating to the agency's overall administration of its ADR program</p>	<p>DAA-GRS-2015-0007-0001 (GRS 2.3, item 010)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>312-02a, General Files</i> (GRS 1, item 27a)</p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>
		<p>b. ADR case files - Informal process. This item includes records that are not associated with another employee dispute, complaint or grievance process. Includes:</p> <ul style="list-style-type: none"> • agreements 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 <p>correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR</p>	<p>DAA-GRS-2015-0007-0002 (GRS 2.3, item 011)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>312-02b, Case Files</i> (GRS 1, item 27b in part)</p>	<p>TEMPORARY. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.</p>

		program)		
		<p>c. ADR case files - Formal process. This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes:</p> <ul style="list-style-type: none"> • agreements 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 <p>correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs)</p>	<p>DAA-GRS-2015-0007-0003 (GRS 2.3, item 012)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>312-02b Case Files (GRS 1, item 27b in part)</i></p>	<p>TEMPORARY. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p>
302-02	Reasonable Accommodation Records.	Includes 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.		
		<p>a. Reasonable accommodation program files. Administrative records not linked to a case file. Includes:</p> <ul style="list-style-type: none"> • instructions • directives • notices • timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation • reports provided annually to oversight agencies 	<p>DAA-GRS-2015-0007-0004 (GRS 2.3, item 020)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-06a, General Files Agency-wide and departmental procedures for receiving, processing,</i></p>	<p>TEMPORARY. Destroy 3 years after being superseded, but longer retention is authorized if required for business use.</p>

		<p>such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance</p> <ul style="list-style-type: none"> notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices 	<p>and appealing requests (GRS 1, item 24a)</p> <p><i>303-06d, Tracking System</i> (GRS 1, item 24d)</p>	
		<p>b. Reasonable accommodation employee case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:</p> <ul style="list-style-type: none"> request approvals and denials notice of procedures for informal dispute resolution or appeal processes, including ADR processes forms correspondence emails policy guidance documents records of oral conversations medical records <p>supporting notes and documentation</p>	<p>DAA-GRS-2015-0007-0005 (GRS 2.3, item 021)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-06, Employee Case Files</i> (GRS 1, item 24b)and</p> <p><i>303-06c, Employee Case Files</i> (GRS 1, item 24c)</p>	<p>TEMPORARY. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.</p>
EQUAL		(GRS 2.3, ITEM 030 THRU GRS 2.3, ITEM 035)		

EMPLOY- MENT PROGRAM RECORDS		Supersedes NOAA Series 312, Equal Employment Opportunity (EEO) Records		
302-03	EEO Program Files.	General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.	DAA-GRS-2015-0007-0006 (GRS 2.3, item 030) <i>Supersedes NOAA Schedule Item:</i> <i>312-01g, EEO General Files</i> (GRS 1, item 25g)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
302-04	EEO Official Discrimination Complaint Case Files – Informal Process.	Cases resolved within the agency that did not go to the formal process stage. Includes: <ul style="list-style-type: none"> • intake sheet • summary report • notes • supporting documentation • correspondence <p>Note: If a formal case is filed, all records in the prior informal case are covered by 302-05.</p>	DAA-GRS-2015-0007-0007 (GRS 2.3, item 031) <i>Supersedes NOAA Schedule Item:</i> <i>312-01a, Official Discrimination Complaint Case Files</i> (GRS 1, item 25a in part)	TEMPORARY. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.
302-05	EEO Official Discrimination Complaint Case Files – Formal Process.	Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.	DAA-GRS-2015-0007-0008 (GRS 2.3, item 032) <i>Supersedes NOAA Schedule Item:</i> <i>312-01a, Official</i>	TEMPORARY. Destroy 7 years after resolution of case, but longer retention is authorized if required for

		Note: This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.	<i>Discrimination Complaint Case Files (GRS 1, item 25a in part)</i>	business use.
		Duplicate copies of Informal and Formal EEO Official Complaint Case Files.	<i>Supersedes NOAA Schedule Item: 312-01b, Duplicate case files or documents pertaining to case files (GRS 1, item 25b)</i>	RESCINDED
302-06	EEO Case Files that did not Result in an EEO Complaint.	Includes cases that did not result in an official formal or informal EEO complaint.	DAA-GRS-2015-0007-0009 (GRS 2.3, item 033) <i>Supersedes NOAA Schedule Item: 312-01c(1), Background records not filed in the Official Discrimination Complaint Case Files (GRS 1, item 25c1)and 312-01c(2), Records documenting complaints that do not develop into Official Discrimination Complaint Cases (GRS 1, item 25c2)</i>	TEMPORARY. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use.
302-07	EEO Compliance Review Files.	Reviews, background documents, and correspondence relating to contractor employment practices.	DAA-GRS-2015-0007-0010 (GRS 2.3, item 034)	TEMPORARY. Destroy when 7 years old, but

			<p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>312-01d(1), Compliance Review Files</i> (GRS 1, item 25d1)</p>	longer retention is authorized if required for business use.
302-08	EEO Reports and Employment Statistics Files.	Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.	<p>DAA-GRS-2015-0007-0011 (GRS 2.3, item 035)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>312-01d(2), EEO Compliance Reports</i> (GRS 1, item 25d2)</p> <p><i>312-01e, EEO Employee Housing Requests</i> (GRS 1, item 25e)</p> <p><i>312-01f, Employment Statistics Files</i> (GRS 1, item 25f)</p> <p><i>312-01h(1), Agency copy of consolidated AAP(s)</i> (GRS 1, item 25h1)</p> <p><i>312-01h(2), Agency feeder plan to consolidated AAP(s)</i> (GRS 1, item 25h2)</p>	TEMPORARY. Destroy when 5 years old, but longer retention is authorized if required for business use.

			<p>312-01h(3), Report of on-site reviews of Affirmative Action Programs (GRS 1, item 25h3)</p> <p>312-01h(4), Agency copy of annual report of Affirmative Action accomplishments (GRS 1, item 25h4)</p>	
302-09	Anti-harassment Records.	<p>Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p>		
		<p>a. Anti-harassment program files.</p> <p>Includes:</p> <ul style="list-style-type: none"> • program administration • correspondence • program implementation records • reports and responses to oversight agencies and senior level management <p>Exclusion: This item does not apply to government-wide program oversight records created and received by OPM and EEOC.</p>	<p>DAA-GRS-2015-0007-0012 (GRS 2.3, item 040)</p> <p>New Item</p>	<p>TEMPORARY.</p> <p>Destroy 3 years after being superseded or obsolete, but longer retention is authorized if required for business use.</p>

		<p>b. Anti-harassment complaint case files.</p> <p>Includes:</p> <ul style="list-style-type: none"> • correspondence • notes • relevant forms • supporting material • background information documentation documents relating to the agency investigation • statements of witnesses • documents relating to management’s determination as to whether harassment occurred • documentation of preventive or corrective measures taken by the agency • documents of interim or intermediate measures taken by the agency • other related records <p>Exclusion: Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.</p>	<p>DAA-GRS-2015-0007-0013 (GRS 2.3, item 041)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>
302-10	Labor Management Relations Agreement Negotiation Records.	<p>Records relating to negotiations with labor unions.</p> <p>Includes:</p> <ul style="list-style-type: none"> • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence 		

		<ul style="list-style-type: none"> • memoranda • reports • forms <p>other records relating to the negotiated agreements and general relationship between management, employee unions and other groups</p>		
		a. Office(s) responsible for negotiations.	<p>DAA-GRS-2015-0007-0014 (GRS 2.3, item 050)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-01a (1), Office negotiating agreement</i> (GRS 1, item 28a1)</p>	TEMPORARY. Destroy 5 years after expiration of agreement, but longer retention is authorized if required for business use.
		b. All other offices.	<p>DAA-GRS-2015-0007-0015 (GRS 2.3, item 051)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-01a (2),) Other offices</i> (GRS 1, item 28a2)</p>	TEMPORARY. Destroy when no longer needed for business use.
		c. Labor management relations arbitration records. Correspondence, forms, and related records relating	<p>DAA-GRS-2015-0007-0016 (GRS 2.3, item 052)</p>	TEMPORARY. Destroy 5 years

		to labor arbitration cases.	<p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-01b, Labor Arbitration General and Case Files</i></p> <p>(GRS 1, item 28b)</p>	after final resolution of case, but longer retention is authorized if required for business use.
302-11	Administrative Grievance, Disciplinary, and Adverse Action Files.	<p>Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, administrative grievance, adverse action and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p>		
		<p>a. Administrative grievance files.</p> <p>Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:</p> <ul style="list-style-type: none"> • grievance documents (copy of original grievance submission and supporting documentation/evidence) • statements of witnesses • reports of interviews and hearings • examiner's findings and recommendations • copy of the original decision • related correspondence and exhibits 	<p>DAA-GRS-2015-0007-0017</p> <p>(GRS 2.3, item 060)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-09a), Administrative Grievance Files</i></p> <p>(GRS 1, item 30a)</p>	<p>TEMPORARY.</p> <p>Destroy no sooner than 4 years but no less than 7 years after case is closed.</p>

		<p>Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.</p>		
		<p>b. Adverse action files. Case files and records related to effected adverse actions against employees. Includes:</p> <ul style="list-style-type: none"> • copy of the proposed adverse action • supporting documents • statements of witnesses • employee's reply • hearing notices • reports • decisions • appeal records • supporting documentation of letters of reprimand <p>Exclusion: Excludes letters of reprimand which are filed in the OPF.</p>	<p>DAA-GRS-2015-0007-0018 (GRS 2.3, item 061)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-09b, Adverse Action Files and Performance-Based Actions</i> (GRS 1, item 30b) in part</p>	<p>TEMPORARY. Destroy no sooner than 4 years but no later than 7 years after case is closed.</p>
		<p>c. Performance-based action files. Case files and records related to effected performance based actions against employees. Includes:</p> <ul style="list-style-type: none"> • performance appraisal • performance improvement plan • supporting documents • copy of the proposed performance-based action • employee's reply • decision notices • hearing notices • appeal records 	<p>DAA-GRS-2015-0007-0023 (GRS 2.3, item 062)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-09b, Adverse Action Files and Performance-Based Actions</i> (GRS 1, item 30b) in part</p>	<p>TEMPORARY. Destroy no sooner than 4 years but no later than 7 years after case is closed.</p>

302-12	<p>Displaced Employee Program Files.</p> <p>Exclusion: These items do not apply to the Department of Defense.</p>			
		<p>a. Displaced employee program files. Includes:</p> <ul style="list-style-type: none"> • program related correspondence • program implementation records • reporting and tracking files sent to oversight agencies such as OPM, and to senior level management • control files <p>information collected about displaced employees</p>	<p>DAA-GRS-2015-0007-0019 (GRS 2.3, item 070)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-03s, DEP control cards, if maintained</i> (GRS 1, item 33s)</p>	<p>TEMPORARY. Destroy 3 years after being superseded, but longer disposition is authorized if required for business use.</p>
		<p>b. Displaced employee program application records. Includes:</p> <ul style="list-style-type: none"> • applications • registrations • forms • data • other related documentation 	<p>DAA-GRS-2015-0007-0020 (GRS 2.3, item 071)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-03r, Interagency Placement Program (IPP) application and registration sheet</i> (GRS 1, item 33r)</p>	<p>TEMPORARY. Destroy when employee is no longer eligible for displaced employee programs, but longer retention is authorized if required for business use.</p>
302-13	Telework/Alternate Worksite Records.			

		<p>a. Telework/alternative worksite program files. Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> • correspondence • notes • policy implementation documents • form development files • planning records • program evaluation documentation/data • reports provided to senior management and oversight agencies such as OPM <p>other related records generated by the agency or by participating employees</p>	<p>DAA-GRS-2015-0007-0021 (GRS 2.3, item 080)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>306-02c, Forms and other records generated by the agency on the participating employee evaluating the alternate worksite program</i> (GRS 1, item 42c) in part</p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>
		<p>b. Forms, requests, or applications to participate in telework/alternate worksite programs. Includes:</p> <ul style="list-style-type: none"> • agreements between the agency and the employee • records such as questionnaires relating to the safety of the worksite • forms, checklists and similar records regarding the installation and use of equipment, hardware, and software • the use of secure, classified information or data subject to the Privacy Act, or agencies' Personally Identifiable Information policies <p>Note: "End of employee participation" in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from</p>	<p>DAA-GRS-2015-0007-0022 (GRS 2.3, item 081)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>306-02c, Forms and other records generated by the agency on the participating employee evaluating the alternate worksite program</i> (GRS 1, item 42c) in part</p> <p>Also supersedes: <i>GRS 1, item 42a,</i> Approved requests or applications to participate</p>	<p>TEMPORARY. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.</p>

		telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.	in an alternate worksite program, and GRS 1, item 42b, <i>Unapproved requests</i>	
--	--	--	---	--

Employee Compensation and Benefits Records (GRS 2.4)

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees. Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies. This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
303	Employee Compensation and Benefits Records.			
		<p>SEE NOAA Series 402-01 through 402-06 FOR EMPLOYEE COMPENSATION AND BENEFITS RECORDS COVERED BY (GRS 2.4, ITEM 010 THRU GRS 2.4, ITEM 061): Records Use to Calculate Payroll, Arrange Paycheck Deposit, and Change Previously Issued Paychecks; Tax Withholding and Adjustment Documents; Time and Attendance Records; Agency Payroll Record for Each Pay Period; and Wage and Tax Statements Records. These records supersede GRS 2, Payroll and Pay Administration Records.</p>		
303-01	Donated Leave Program Administrative Records.	<p>Records related to managing the program, including:</p> <ul style="list-style-type: none"> • records of leave bank management • records of leave bank governing board award decisions • publicity and program announcements • statistical and narrative reports <p>similar records not linked to individual employee participation</p>	<p>DAA-GRS-2016-0015-0008 (GRS 2.4, item 070)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>
303-02	Donated Leave	Records documenting leave donation and receipt,	DAA-GRS-2016-0015-0009	TEMPORARY.

	Program individual Case Files.	including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.	<p>(GRS 2.4, item 071)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>306-04, Donated Leave Program Case Files</i> (GRS 1, item 37)</p>	Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.
303-03	Wage Survey Files.	Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on 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).	<p>DAA-GRS-2016-0015-0010 (GRS 2.4, item 080)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-03, Wage Survey Files</i> (GRS 1, item 38)</p>	TEMPORARY. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use.
303-04	Incentive Package Records.	Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.	<p>DAA-GRS-2016-0015-0011 (GRS 2.4, item 090)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-02, Pay</i></p>	TEMPORARY. Destroy 3 years after date of approval, completion of service agreement, or termination of

			<i>Comparability Records (GRS 1, item 41)</i>	incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.
303-05	Workers' Compensation (Personnel Injury Compensation) Records.	<p>Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:</p> <ul style="list-style-type: none"> • forms, reports, correspondence, claims • medical and investigatory records • administrative determinations or court rulings • payment records <p>Exclusion 1: Copies filed in the Employee Medical Folder.</p> <p>Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>		
		a. Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.	<p>DAA-GRS-2016-0015-0012 (GRS 2.4, item 100)</p> <p><i>Supersedes NOAA Schedule Item:</i></p>	TEMPORARY. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.

			<i>307-13, Personal Injury Files</i> (GRS 1, item 31)	
		b. Records of agencies that do not forward case file material to DOL for retention in DOL’s master OWCP records.	DAA-GRS-2016-0015-0013 (GRS 2.4, item 101) <i>New Item</i>	TEMPORARY. Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.
303-06	Requests for Health Benefits under Spouse Equity.	Applications and related papers. If applications are denied, may include denial letters, appeal letters, and		
		a. Successful applications, including those denied and successfully appealed.	(GRS 2.4, item 110) <i>Supersedes NOAA Schedule Item:</i> <i>308-05b1, Health benefits Appeal successful - benefits granted</i> (GRS 1, item 35b1)	Filing Instruction only. Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.
		Denied health benefits requests under spouse equity – appealed - successful		
		b. Denied applications.	DAA-GRS-2016-0015-0014 (GRS 2.4, item 111) <i>Supersedes NOAA Schedule Item:</i> <i>308-05a, Health benefits</i>	TEMPORARY. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.

			<p><i>denied, not appealed</i> (GRS 1, item 35a)</p> <p><i>308-05b2</i> (GRS 1, item 35b2)</p>	
303-07	Child Care Subsidy Program Administrative Records.	<p>Records related to managing the program, including:</p> <ul style="list-style-type: none"> • determining amount of subsidy available to employees • verifying child care centers' accreditation • tracking funds disbursed to individual child care centers • publicity and program announcements • statistical and narrative reports <p>similar records not linked to individual employee participation</p>	<p>DAA-GRS-2016-0015-0015 (GRS 2.4, item 120)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>
303-08	Child Care Subsidy Program Individual Case Files.	<p>Case files of individual employee participation in child care subsidy programs, such as:</p> <ul style="list-style-type: none"> • enrollment documentation • applications and supporting documents • eligibility verification (employment, proof of income) • records of other subsidies the employee received • agreements between agencies and employees • notice of approval or denial of participation in program <p>child care provider information</p>	<p>DAA-GRS-2016-0015-0016 (GRS 2.4, item 121)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.</p>
		<p>SEE NOAA Series 1006-01 FOR FEDERAL EMPLOYEE TRANSPORTATION SUBSIDY RECORDS (GRS 2.4 ITEM 130 AND GRS 2.4, ITEM 131)</p>		

303-09	Family Medical Leave Act Program Administrative Records.	<p>Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.</p> <p>Legal citation: 29 CFR 825.500</p>	<p>DAA-GRS-2016-0015-0019 (GRS 2.4, item 140)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>
303-10	Family Medical Leave Act Program Individual Case Files.	<p>Includes:</p> <ul style="list-style-type: none"> • employee eligibility to participate in program • eligibility notice given to employee • notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them • medical certifications • employee identification data • records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid • leave request, approval/non-approval • leave records • records of premium payments of employee benefits • records of disputes between employers and eligible employees regarding designation of leave as FMLA leave • periodic reports of employee status and intent to return to work <p>Legal citation: 29 CFR 825.500</p>	<p>DAA-GRS-2016-0015-0020 (GRS 2.4, item 141)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.</p>

Employee Separation Records (GRS 2.5)

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee’s responsibilities.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
304	Employee Separation Records.			
304-01	Separation Program Management Records.	Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents exit interview compilations identifying and tracking trends		
		a. Records not specific to an agency separation initiative.	DAA-GRS-2014-0004-0001 (GRS 2.5, item 010) <i>Supersedes NOAA</i>	TEMPORARY. Destroy when no longer required for business use.

			<p><i>Schedule Item:</i></p> <p>302-04b(2), Records not specific to an agency separation initiative (GRS 1, item 17b2)</p>	
		<p>b. Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</p>	<p>DAA-GRS-2014-0004-0002 (GRS 2.5, item 011)</p> <p><i>Supersedes NOAA Schedule Item:</i> 302-04b(1), Records specific to an agency separation initiative (GRS 1, item 17b1)</p>	<p>TEMPORARY. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.</p>
304-02	Individual Employee Separation Case Files.	<p>Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency Fr office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records documenting notification 	<p>DAA-GRS-2014-0004-0003 (GRS 2.5, item 020)</p> <p><i>Supersedes NOAA Schedule Item:</i> 308-01, Retirement Assistance Files (GRS 1, item 39)</p>	<p>TEMPORARY. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p>

		<p>of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation</p> <ul style="list-style-type: none"> • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see “Record of employee leave,” item 040 of this schedule, for record copy) retained for agency use <p>Exclusion: Records required to be filed in employee’s OPF are excluded from this item.</p>		
304-03	Records Documenting Capture of Institutional and Specialized Knowledge.	<p>Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p>	<p>DAA-GRS-2014-0004-0004 (GRS 2.5, item 030)</p> <p><i>New Item</i></p>	<p>TEMPORARY. Destroy when no longer required for business use.</p>
304-04	Individual Employee	As identified in the Office of Personnel Management	(GRS 2.5, item 040)	Filing Instruction

	Separation Records Required to be Placed in Separating Employee's OPF.	(OPM) Guide to Personnel Recordkeeping, includes but is not limited to: <ul style="list-style-type: none"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary 		only. Follow instructions for 402-12, same subject.
304-05	Phased Retirement Administrative Records.	Records related to managing the program, including: <ul style="list-style-type: none"> • procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence 	DAA-GRS-2016-0007-0001 (GRS 2.5, item 050) <i>New Item</i>	TEMPORARY. Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.
304-06	Phased Retirement Individual Case Files.	Case files of individual employee participation in phased retirement, such as: <ul style="list-style-type: none"> • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others 	DAA-GRS-2016-0007-0002 (GRS 2.5, item 051) <i>New Item</i>	TEMPORARY. Destroy 1 year after employee participation concludes or the employee retires,

		<ul style="list-style-type: none"> • notice of approval or disapproval • retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence <p>Note: Agencies may choose to file these records with the employee’s retirement file, in which case the agency should retain them according to the retention period for the retirement file, per 304-02 above (GRS 2.5, item 020).</p> <p>Exclusion: This item does not cover records held at OPM concerning staff at other agencies.</p>		but longer retention is authorized if required for business use.
305	Employee Training Records.	Follow the guidance and disposition of NOAA Records Series 203-04, Training and Workshop Records (GRS 2.6, item 010 through 2.6, item 041) for Non-mission training on administrative related activities.		

Employee Health and Safety Records (GRS 2.7)

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS. Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees. Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Please note: Series # 306 below, covers Non-Occupational Health Records, excluding **306-01** which **refers to both occupational and non-occupational clinic scheduling records**. Occupational Health Records (GRS 2.7, item 020 through GRS 2.7, item 062) are covered in Chapter 905, Safety Files, of this handbook.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
306	Employee Health and Safety Records			
		Non-occupational Health Records		
306-01	Clinic Scheduling Records.	Scheduling records of clinic visits, both occupational and non-occupational . Includes:	DAA-GRS-2017-0010-0001 (GRS 2.7, item 010)	TEMPORARY. Destroy when 3 years old, but

		<ul style="list-style-type: none"> • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics 	<p><i>Supersedes NOAA Schedule Items:</i></p> <p>302-22a Health Unit Control Files - If information is summarized on statistical report (GRS 1, item 20a), and</p> <p>302-22b Health Unit Control Files - If information is not summarized. (GRS 1, item 20a)</p>	longer retention is authorized if needed for business use.
306-02	Non-occupational Individual Medical Case Files.	<p>Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E.</p> <p>Legal Citations: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.</p>	<p>DAA-GRS-2017-0010- 0012 (GRS 2.7, item 070)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p>302-21, Individual Non-Occupational Health Record Files (GRS 1, item 19)</p>	TEMPORARY. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.
306-03	Non-occupational Health and Wellness Program Records.	Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation.	<p>DAA-GRS-2017-0010- 0013 (GRS 2.7, item 080)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>Supersedes NOAA Schedule Item:</i></p>	TEMPORARY. Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is

		<p>Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 	<p>307-10, Alcohol and Drug Abuse Program (GRS 1, item 26b)</p>	<p>authorized if needed for business use.</p>
306-04	Employee Assistance Program (EAP) Counseling Records.	<p>Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p>		
		<p>a. Records related to employee performance or conduct.</p> <p>Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions • illegal drug or alcohol use <ul style="list-style-type: none"> o test results for use of illegal drugs o test results for alcohol consumption on the job o substance abuse assessment, treatment, aftercare, and monitoring records . <p>Note: GRS 2.3, Employee Relations Records, covers</p>	<p>DAA-GRS-2017-0010- 0014 (GRS 2.7, item 090)</p> <p>New Item</p>	<p>TEMPORARY. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.</p>

		adverse action files under 302-11b (item 061) and performance-based action files under 302-11c (item 062).		
		<p>b. Records not related to performance or conduct.</p> <p>Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes 	<p>DAA-GRS-2017-0010- 0015 (GRS 2.7, item 091)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>307-10, Counseling Files (GRS 1, item 26a)</i></p>	<p>TEMPORARY.</p> <p>Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.</p>
		Drug-free Workplace Program Records		
306-05	Employee Drug Test Plans, Procedures, and Scheduling	Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated	DAA-GRS-2017-0010-0016 (GRS 2.7, item 100)	<p>TEMPORARY.</p> <p>Destroy when 3 years old or when</p>

	Records.	<p>positions and selection of specific employees/applicants for testing.</p> <p>Includes:</p> <ul style="list-style-type: none"> • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules <p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: 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), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: 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. Schedule these on agency-specific schedules.</p>	<i>Supersedes NOAA Schedule Item:</i>	superseded or obsolete.
306-06	Employee Drug Test Acknowledgment of Notice Forms.	Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.	DAA-GRS-2017-0010-0017 (GRS 2.7, item 110)	TEMPORARY. Destroy when employee separates from

				testing-designated position.
306-07	Employee Drug Testing Specimen Records.	Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.	DAA-GRS-2017-0010-0018 (GRS 2.7, item 120)	TEMPORARY. Destroy 3 years after date of last entry or when 3 years old, whichever is later.
306-08	Employee Drug Test Results.	Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. Exclusion: Drug test results of applicants for employment are covered by 301-05a and 302-05b.		
		a. Positive results.	DAA-GRS-2017-0010-0019 (GRS 2.7, item 130)	TEMPORARY. Destroy when employee leaves the agency or when 3 years old, whichever is later.
		b. Negative results.	DAA-GRS-2017-0010-0020 (GRS 2.7, item 131)	TEMPORARY. Destroy when 3 years old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
307	NOAA Corps Official Personnel Folder (OPF).	<p>These files include the Official Personnel Folders for NOAA Corps Officer Personnel Records System (paper and web-based records), applicable to active duty officers.</p> <p>Commissioned Personnel Center (CPC) assumes responsibility for documents originating from the Director, NOAA Corps, Director, CPC, or CPC personnel. NOAA Corps officers are responsible for ensuring their individual Official Personnel Folders contain current, complete, and legible information.</p> <p>Note: See NOAA subfunctions 300 through 306 above for civilian personnel files.</p>		
307-01	Officer Personnel Folder.	Consists of permanent documents containing information about the officer's career with NOAA Corps. Such documents include information about accession, training, education, performance, discipline, decorations, awards, assignments, and separation/retirement of a NOAA Corps Officer.		
		<p>a. Long-term documents.</p> <p>Documents kept for the life of the folders, usually 115 years from the officer's date of birth. These documents are filed in chronological order in the appropriate section of the personnel folder. (e.g. appointment affidavits, commissions, and evaluations).</p>	<p>(Formerly 311-02)</p> <p>NOAA Corps Directives Chapter 01, Part 6, Official Personnel Records Management.</p>	<p>TEMPORARY.</p> <p>Place in inactive file upon retirement or death of individual. Transfer 1 year later to the National Personnel Records Center</p>

				(CPR), St. Louis, MO.
		<p>b. Temporary documents.</p> <p>Consists of documents that are not kept for the life of the personnel folders. These documents are filed in the appropriate section of the personnel folder and are removed or replaced as necessary (e.g. Service members' Group Life Insurance (SLGI) elections, and Record of Emergency Data forms).</p>	NOAA Corps Directives Chapter 01, Part 6, Official Personnel Records Management.	TEMPORARY. Destroy when superseded or becomes obsolete.
307-02	Officer Medical Folder.	Consists of history of medical care, medical treatment, laboratory reports, imaging studies, dental, electrocardiograms, miscellaneous documents, and correspondence.	NOAA Corps Directives Chapter 01, Part 6, Official Personnel Records Management.	
		<p>a. Long-term documents.</p>	(Formerly 311-02)	TEMPORARY. Place in inactive file upon retirement or death of individual. Transfer 1 year later to the National Personnel Records Center (CPR), St. Louis, MO
		<p>b. Temporary documents.</p>	NOAA Corps Directives Chapter 01, Part 6, Official Personnel Records Management.	TEMPORARY. Destroy when superseded or becomes obsolete.