

NOAA Records Schedules
Chapter 300
Personnel Management Files

Revised 9/2022 to incorporate changes transmitted under NARA Transmittal 32 to the General Records Schedule, item 306-09, Workplace Assessment Records, Vaccination Attestation and Proof of Vaccination Records, Item 306-10, Symptom Screening and Testing Records

Revised on 12/2020 to include DAA-0370-2020-0003-0001, Wage Mariner Pay Schedules;

Revised on 07/2020 to incorporate changes transmitted under NARA transmittal 31 to the General Records Schedules (GRS);

Revised on 04/2020 to add items 170, 171, and 180 to cover impact files and recruitment records and totally revised GRS 2.3 reducing the previously 23 items to 13, and added items 080 and 100 to cover Merit Systems Protection Board and Federal Labor Relations Authority Case Files;

Revised on 11/2019 to include an Exclusion to: NOAA Records Series 301-04, Official Personnel Folder (OPF)/Electronic OPF (eOPF);

Revised on 06/2019 to include an Update to: General Records Schedule (GRS) 2.3, item 060, Employee Relations Records, Administrative Grievance, Disciplinary, and Adverse Action Files;

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).

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

NOAA Series #	Records Title/Description
300	Employee Acquisition Records (Formerly Recruitment & Selection Records) Updated by GRS 2.1 on 9/2022 and GRS Transmittal 32, 3/2022.
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
300-16	Adverse Impact Files NEW
300-17	Recruitment Records NEW

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 NEW
301-11	Volunteer Service Case Files NEW
301-12	Skill Set Records NEW
302	Employee Relations Records
302-01	Employee Relations Programs' Administrative Records
302-02	Reasonable Accommodation Case Files
302-03	Dislocated Worker Program Files
302-04	Telework/alternate Worksite Program Case Files
302-05	Harassment Complaint Case Files
302-06	Administrative Grievance, Disciplinary, Performance-based, and Adverse Action Case Files
302-07	Alternative Dispute Resolution (ADR) Case Files
302-08	Merit Systems Protection Board (MSPB) Case Files NEW
302-09	Labor Arbitration (Negotiated Grievance Procedure) Case Records
302-10	Federal Labor Relations Authority (FLRA) Case Files NEW
302-11	EEO Discrimination Complaint Case Files

302-12	Records Documenting Contractor Compliance with EEO Regulations
302-13	Labor Management Relations Agreement Negotiation Records
303	Employee Compensation and Benefits Record
303-01	Donated Leave Program Administrative Records NEW
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 NEW
303-08	Child Care Subsidy Program Individual Case Files NEW
303-09	Family Medical Leave Act Program Administrative Records NEW
303-10	Family Medical Leave Act Program Individual Case Files NEW
303-11	Wage Mariner Pay Schedules NEW
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 NEW
304-04	Individual Employee Separation Records Required to be Placed in Separating Employee's OPF
304-05	Phased Retirement Administrative Records NEW
304-06	Phased Retirement Individual Case Records NEW

305	Employee Training Records (Previously, Subfunction 304, Employee Performance, Utilization, and Training Files, have been moved to NOAA Records Series 203-04, Employee Training 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 NEW
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
306-09	Workplace Health Assessments- Vaccination attestations and proof of vaccination records. NEW 9-22
306-10	Workplace Health Assessments- Symptom screening and testing records. NEW 9-22
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.

Agencies must offer any records 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
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.	Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of	DAA-GRS-2014-0002-0001 (GRS 2.1, item 010)	TEMPORARY. Destroy 2 years after standard is

		<p>Personnel Management (OPM) approval or disapproval.</p> <p>Exclusion: OPM’s case files on classification standards are not covered by this item.</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><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01a(2)a, Position Classification Standards Files – Case File, (GRS 1, item 7a(2)a), Case File); and</i></p> <p><i>305-01b, Position Classification Standards Files – Review File (GRS 1, item 7a2b)</i></p>	<p>superseded, canceled, or disapproved by OPM (as appropriate) but 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 		

		Both above items were rescinded by GRS Transmittal 28.		
		<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><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-01b, Position Descriptions</i> (GRS 1, item 7b)</p>	<p>TEMPORARY. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>
		<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</i> (GRS 1, item 7b)</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.</p> <p>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>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 covered by this item.</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 Relating to Classification Appeals</i> (GRS 1, item 7d1)</p>	<p>TEMPORARY. Destroy 3 years after final decision, but longer retention is authorized if required for business use.</p>
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>	<p>TEMPORARY. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p>
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 		

		<ul style="list-style-type: none"> • 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 • 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> <i>303-02, Certificate of Eligibles Files (GRS 1, item 5, in part)</i>	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>	TEMPORARY. Destroy 2 years after termination of register.

			<p>303-02, Certificate of Eligibles Files (GRS 1, item 5, in part)</p>	
300-06	Job Application Packages.	<p>Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:</p> <ul style="list-style-type: none"> • application • 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>DAA-GRS-2014-0002-0011 (GRS 2.1, item 060)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p>303-01 b(1), Offer of Employment File (GRS 1, item b1);</p> <p>303-01 b(2), Temporary or excepted appointment (GRS 1, item b2);</p> <p>303-01 b(3), All others appointment (GRS 1, item b3);</p> <p>303-03k, Examining and Certification Records - Cancelled and ineligible applications for positions filled from a register or inventory (GRS 1, item 33k);</p>	<p>TEMPORARY. Destroy 1 year after date of submission.</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</i></p>	TEMPORARY. Destroy 5 years after date of final report.

			<i>Exposed Test Material Case Files</i> (GRS 1, item 33j)	
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.	DAA-GRS-2014-0002-0013 (GRS 2.1, item 080) <i>Supersedes NOAA Schedule Item:</i> <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)	TEMPORARY. Destroy 1 year after approval is granted or denied.
300-09	Interview Records.	Case files related to filling job vacancies, held by hiring official and interview panel members. Includes: <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>	DAA-GRS-2014-0002-0008 (GRS 2.1, item 090) <i>Supersedes NOAA Schedule Item:</i> <i>303-21, Interview Files</i> (GRS 1, item 8)	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.

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: <ul style="list-style-type: none"> • applications for employment • resumes • 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>		
		<p>a. Records (except ethics pledges and waivers) related to appointees.</p>	DAA-GRS-2014-0002-0014 (GRS 2.1, item 100)	<p>TEMPORARY. Destroy after separation. Retention up to end of administration under which individual was hired is authorized if</p>

				required for business use.
		b. Ethics pledges and waivers of appointees.	(GRS 2.1, item 101)	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 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 		

		<ul style="list-style-type: none"> • 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>		
		<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).</p>	<p>DAA-GRS-2014-0002-0018 (GRS 2.1, item 110)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>303-04, Handicapped Individuals Appointment Case Files</i> (GRS 1, item 40)</p>	<p>TEMPORARY. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.</p>
		<p>b. Case files related to all other appointees.</p>	<p>DAA-GRS-2014-0002-0019 (GRS 2.1, item 111)</p>	<p>TEMPORARY. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.</p>
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.	<p>DAA-GRS-2014-0002-0016 (GRS 2.1, item 120)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy 2 years after hiring authority closes but longer</p>

			<p><i>303-07, Student employment and Work Study Program Files.</i></p> <p><i>303-07a, Junior Fellow Program Files;</i></p> <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>	<p>retention is authorized if required for business use.</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.	DAA-GRS-2014-0002-0017 (GRS 2.1, item 130) <i>Supersedes NOAA Schedule Items: 303-11, Temporary or Indefinite Employment Files</i>	TEMPORARY. Destroy 2 years after employee is converted to a permanent position or leaves a program 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)	
		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.	(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>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)	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)	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.	DAA-GRS-2014-0002-0022 (GRS 2.1, item 160) <i>Supersedes NOAA Schedule Item:</i>	TEMPORARY. Destroy when 3 years old but longer retention is authorized if

		Exclusion: OPM's records are not covered by this item.	303-03t, Reports of audits of delegated examining operations (GRS 1, item 33t)	required for business use.
300-16	Adverse Impact Files.	Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting: <ul style="list-style-type: none"> • number of applicants by sex, race, and national origin • number of people hired, promoted, and terminated, by sex, race, and national origin • selection procedures and their validity 		
		a. Records revealing no adverse impact.	DAA-GRS-2018-0008-0001 (GRS 2.1, item 170) NEW	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
		b. Records revealing an adverse impact. Legal citation: 29 CFR 1607.15A(2)(b)	DAA-GRS-2018-0008-0002 (GRS 2.1, item 171) NEW	TEMPORARY. Destroy when 2 years old, but longer retention is authorized if required for business use.

300-17	Recruitment Records.	<p>Records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:</p> <ul style="list-style-type: none"> • records documenting planning and logistics of individual recruitment events • record copy of advertisement and materials for distribution (see Exclusion 2) • contact information and interest areas collected from potential job candidates • recruitment event reports • correspondence with prospective candidates <p>Exclusion 1: Military recruitment advertising records must be scheduled by military establishments.</p> <p>Exclusion 2: Recruitment posters must be scheduled by agencies.</p>	<p>DAA-GRS-2018-0008-0003 (GRS 2.1, item 180)</p> <p>NEW</p>	<p>TEMPORARY. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>
--------	----------------------	---	--	--

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.

Agencies must offer any records 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
301	Employee Management Records			
301-01	Employee Management Administrative Records.	Records on routine office program support, administration, and human resources operations. Includes: <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 	DAA-GRS-2017-0007-0001 (GRS 2.2, item 010) <i>Supersedes NOAA Schedule Items:</i> <i>301-01, Intra-management Communications Files</i>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.

		<ul style="list-style-type: none"> • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders <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>302-04c, All other correspondence and forms</i> (GRS 1, item 17c)</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><i>New Item</i></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 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>DAA-GRS-2017-0007-0003 (GRS 2.2, item 030)</p> <p><i>Supersedes NOAA Schedule Items:</i></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></p>	<p>TEMPORARY. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p>
--------	-----------------------------------	---	---	---

			<p>(GRS 1, item 12b)</p> <p><i>304-06, Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF</i></p> <p>(GRS 1, item 12c)</p> <p><i>304-07, Lists of or Indexes to Agency Award Nominations</i></p> <p>(GRS 1, item 12d)</p> <p><i>304-08, Reports pertaining to the operation of the Incentive Awards Program</i></p> <p>(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 Item 200-07.</p>		
		<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 – Transferred Employees was Rescinded by GRS Transmittal 28.</p>	<p>DAA-GRS-2017-0007-0004 (GRS 2.2, item 040)</p> <p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>302-01b, 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><i>302-02a, 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.	<p>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 Resources offices.</p> <p>Exclusion: SF-50s filed in the OPF. 301-04a and 301-04b of this schedule cover these records.</p>	<p>DAA-GRS-2017-0007-0006 (GRS 2.2, item 050)</p> <p><i>Supersedes NOAA Schedule Items:</i></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>	<p>TEMPORARY. Destroy when business use ceases.</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>TEMPORARY. Destroy 3 years after employee separates from service or transfers to another agency.</p>

			304-10b, Temporary Individual Employee Records - Immigration and Naturalization Service Form I-9 (GRS 1, item 10b)	
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>TEMPORARY. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>

			<p><i>304-05a4, All other summary performance appraisal records</i> (GRS 1, item 23a4) <i>304-05a5, Supporting documents</i> (GRS 1, item 23a5a)</p>	
		<p>b. Unacceptable performance appraisals of non-senior executive service employees. 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</i> (GRS 1, item 23a1)</p>	<p>TEMPORARY. . 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>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</i></p>	<p>TEMPORARY. sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>

		<p>Legal citation: 5 CFR Part 293.404</p>	<p>(GRS 1, item 9)</p> <p><i>304-05b1). Performance records superseded through an administrative, judicial, or quasi-judicial 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>DAA-GRS-2017-0007-0011 (GRS 2.2, item 073)</p> <p><i>Supersedes NOAA Schedule Items:</i></p>	<p>TEMPORARY. Destroy when superseded. This disposition instruction is mandatory;</p>

		<p>Legal citation: 5 CFR Part 293.404</p>	<p><i>304-05a2, Performance records superseded through an administrative, judicial, or quasi-judicial procedure</i> (GRS 1, item23a2)</p> <p><i>304-05b1, Performance records superseded through an administrative, judicial, or quasi-judicial procedure</i> (GRS 1, item23b1)</p>	<p>deviations are not allowed.</p>
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</p>	<p>DAA-GRS-2017-0007-0012 (GRS 2.2, item 080)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p><i>303-22a, Supervisors' Personnel Files</i> (GRS 1, item 18a)</p> <p><i>303-22b, Duplicate Documentation</i> (GRS 1, item 18b)</p>	<p>TEMPORARY. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>

		documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.		
		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	DAA-GRS-2017-0007-0016 (GRS 2.2, item 110) <i>New Item</i>	TEMPORARY. Destroy 4 years after volunteer departs service, but

		whom service is creditable for leave or any other employee benefits. Items 301-04a and 301-04b of this schedule cover these records.		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) <i>New Item</i>	TEMPORARY. Destroy when 1 year old.
301-12	Skill Set Records.	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. 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.	DAA-GRS-2017-0007-0018 (GRS 2.2, item 120) <i>New Item</i>	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. Additional copies of these records, when held by supervisors or managers in program offices, are supervisory files covered under GRS 2.2, item 080. **GRS 2.3 was totally revised to merge similar items, reducing what was previously 23 items to 13 items.**

Agencies must offer any records 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
302	Employee Relations Records			
302-01	Employee Relations Programs' Administrative Records.	Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes: <ul style="list-style-type: none"> • program-related correspondence • copies of statutes, regulations, directives, and instructions • timetables and guidelines for processing case files and appealing decisions 	DAA-GRS-2018-0002-0001 (GRS 2.3, item 010) <i>Supersedes: DAA-GRS-2015-0007-0001 (GRS 2.3, item 010)</i> <i>Supersedes NOAA Schedule Items:</i> 302-01 , Alternate Dispute Resolution (ADR) Records.	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.

		<ul style="list-style-type: none"> • planning records • meeting minutes • program evaluations and reports to senior management • statistical records tracking program participation and participants • records tracking programs' compliance with relevant Executive Orders and other requirements • records arranging for outside mediator and facilitator involvement in case settlements <p>Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).</p> <p>Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).</p> <p>Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</p>	<p>a. ADR program files; previously filed as 312-02a (GRS 1, item 27a);</p> <p>DAA-GRS-2015-0007- 0004 (GRS 2.3, item 020) filed as</p> <p><i>NOAA Schedule Items:</i> 302-02a. Reasonable accommodation program files;</p> <p><i>DAA-GRS-2015-0007-0006 (GRS 2.3, item 030) filed as NOAA Schedule 302-03, previously filed as 312-01g, EEO General Files (GRS 1, item 25g)</i></p> <p><i>DAA-GRS-2015-0007-0012 (GRS 2.3, item 040) filed as NOAA Schedule 302-09a;</i></p> <p><i>DAA-GRS-2015-0007-0019 (GRS 2.3, item 070) filed as NOAA Schedule 302-12a, Displaced employee program files, previously filed as 303-03s, (GRS 1, item 33s);</i></p>	
--	--	---	--	--

			<i>DAA-GRS-2015-0007-0021 (GRS 2.3, item 080) in part, filed as NOAA Schedule 306-13a, Telework/alternative worksite program files, previously filed as 306-02c, (GRS 1, item 42c)</i>	
302-02	Reasonable Accommodation Case Files.	Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource 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: <ul style="list-style-type: none"> • request, approvals and denials • notice of procedures for informal dispute resolution or appeal processes • forms, correspondence, records of oral conversations • policy guidance documents • medical records • supporting notes and documentation 	DAA GRS 2018 0002 0002 (GRS 2.3, item 020) <i>Supersedes: DAA-GRS-2015-0007-0005 (GRS 2.3, item 021) filed as NOAA Schedule 302-02b, Reasonable accommodation employee case files, previously filed as 303-06, (GRS 1, item 24b) and 303-06c (GRS 1, item 24c)</i>	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.
302-03	Dislocated Worker Program Case Files.	Includes applications, registrations, supporting documentation.	DAA GRS 2018 0002- 0003 (GRS 2.3, item 030) <i>Supersedes: DAA-GRS-2015-0007-0020</i>	TEMPORARY. Destroy 1 year after employee eligibility for program expires, but longer

			<i>(GRS 2.3, item 071) filed as NOAA Schedule 302-12b, Displaced employee program application records, previously filed as 303-03r, (GRS 1, item 33r)</i>	retention is authorized if required for business use.
302-04	Telework/Alternate Worksite Program Case Files.	<p>Includes:</p> <ul style="list-style-type: none"> • agency/employee agreements • records such as questionnaires relating to the safety of the worksite • records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act or agencies' Personally Identifiable Information policies <p>NOTE: See NOAA Series Item 203-05 for Individual Case Files.</p>	<p>DAA-GRS-2018 0002-0004 (GRS 2.3, item 040)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0021 (GRS 2.3, item 080) in part, filed as NOAA Schedule 302-13a, Telework/alternative worksite program files; and</i></p> <p><i>DAA-GRS-2015-0007-0022 (GRS 2.3, item 081) filed as NOAA Schedule 302-13b, Forms, requests, or applications to participate in telework/alternate worksite programs, previously filed as 306-02, (GRS 1, item 33r)</i></p>	TEMPORARY. Destroy when superseded or obsolete or 1 year after end of employee's participation in program, whichever is sooner, but longer retention is authorized if required for business use.
302-05	Harassment Complaint Case Files.	Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes:	DAA-GRS-2018 0002-0005 (GRS 2.3, item 050)	TEMPORARY. Destroy 7 years after close of

		<ul style="list-style-type: none"> • complaint, correspondence, notes, forms, and supporting material • records of investigation, statements of witnesses • determination as to whether harassment occurred • documentation of preventive or corrective measures <p>Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.</p>	<p><i>Supersedes:</i> DAA-GRS-2015-0007-0013 (GRS 2.3, item 041) filed as NOAA Schedule 302-09b, Anti-harassment complaint case files.</p>	<p>case, but longer retention is authorized if required for business use.</p>
302-06	Administrative Grievance, Disciplinary, Performance-Based, and Adverse Action Case Files.	<ul style="list-style-type: none"> • Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: <ul style="list-style-type: none"> o statement of grievance, supporting documentation, and evidence o statements of witnesses, records of interviews and hearings o examiner's findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: <ul style="list-style-type: none"> o performance appraisal, performance improvement plan, and supporting documents o recommended action, employee's reply o records of hearings and decisions o records of appeals • Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes: <ul style="list-style-type: none"> o proposed adverse action, employee's reply o statements of witnesses o records of hearings and decisions o letters of reprimand o records of appeals 	<p>DAA-GRS-2018 0002-0006 (GRS 2.3, item 060)</p> <p><i>Supersedes:</i> DAA-GRS-2015-0007-0017 (GRS 2.3, item 060) filed as NOAA Schedule 302-11a, Administrative grievance files, previously filed as 307-09a, (GRS 1, item 30a);</p> <p>DAA-GRS-2015-0007-0018 (GRS 2.3, item 061) filed as NOAA Schedule 302-11b, Adverse action files, previously filed as 307-09b, (GRS 1, item 30b); and</p> <p>DAA-GRS-2015-0007-0023</p>	<p>TEMPORARY. Destroy no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.</p>

		<p>Note 1: Letter of reprimand filed in an employee's Official Personnel File is scheduled by GRS 2.2, item 041.</p> <p>Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</p>	<p><i>(GRS 2.3, item 062) filed as NOAA Schedule 302-11c, Performance-based action files, previously filed as 307-09b, (GRS 1, item 30b)</i></p>	
302-07	Alternate Dispute Resolution (ADR) Case Files.	<p>Includes:</p> <ul style="list-style-type: none"> • agreement to use ADR • records of intake and process 		
		a. Informal process.		
		Records not associated with another employee dispute, complaint or grievance process.	<p>DAA-GRS-2018 0002-0007 (GRS 2.3, item 070)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0002 (GRS 2.3, item 011) filed as NOAA Schedule 302-01b, ADR case files – Informal process, previously filed as 312-02b, (GRS 1, item 27b in part)</i></p>	TEMPORARY. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.
		b. Formal process. Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.	<p>DAA-GRS-2018 0002-0008 (GRS 2.3, item 071)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0003</i></p>	TEMPORARY. Destroy 7 years after case is closed, but longer disposition is

			<i>(GRS 2.3, item 012) filed as NOAA Schedule 302-01c, ADR case files – Formal process, previously filed as 312-02b, (GRS 1, item 27b in part)</i>	authorized if required for business use.
302-08	Merit Systems Protection Board (MSPB) Case Files.	<p>Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:</p> <ul style="list-style-type: none"> • petitions for appeal, agencies' responses to petitions • hearing notices, transcripts, testimony, briefs, and exhibits • MSPB initial decisions • petitions for review, responses of opposing party to petition • orders granting or denying intervention • MSPB final opinions, orders, and decisions <p>Exclusion: Corresponding case files at MSPB (must be scheduled by MSPB).</p>	<p>DAA-GRS-2018 0002-0009 (GRS 2.3, item 080)</p> <p>New Item</p>	TEMPORARY. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.
302-09	Labor Arbitration (Negotiated Grievance Procedure) Case Records.	Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.	<p>DAA-GRS-2018 0002-0010 (GRS 2.3, item 090)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0016 (GRS 2.3, item 052) filed as NOAA Schedule 302-10c, Labor management relations arbitration records, previously filed as</i></p>	TEMPORARY. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.

			307-01b, (GRS 1, item 28b)	
302-10	Federal Labor Relations Authority (FLRA) Case Files.	<p>Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</p> <p>Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</p> <ul style="list-style-type: none"> • records of representation proceedings <ul style="list-style-type: none"> ○ petitions, notice of petitions, cross-petitions, motions ○ records documenting adequate showing of interest ○ challenges to the status of a labor organization ○ records of meetings, hearings, and prehearing conferences ○ statements of witnesses ○ dismissals of petitions ○ decisions, orders • records of unfair labor practices proceedings <ul style="list-style-type: none"> ○ charges/allegations of unfair labor practices, amendments, and supporting evidence ○ records of charges/allegations investigation, including subpoenas ○ complaints by FLRA Regional Director ○ motions, responses, stipulations ○ records of hearings 	<p>DAA-GRS-2018 0002-0011 (GRS 2.3, item 100)</p> <p>New Item</p>	<p>TEMPORARY. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> ○ records of decisions and settlements ● records of negotiability proceedings <ul style="list-style-type: none"> ○ petitions for review ○ records of post-petition conferences ○ agencies' statements of position, unions' responses, and agencies' counter-responses ○ records of post-petition conferences ○ decisions, orders ● records of review of arbitration awards <ul style="list-style-type: none"> ○ exceptions to arbitrators' award rendered pursuant to arbitrations ○ oppositions to exceptions ○ determination of grounds for review ○ decisions, orders <p>Exclusion: Corresponding case files at FLRA (must be scheduled by FLRA).</p>		
302-11	EEO Discrimination Compliant Case Files	<p>Includes:</p> <ul style="list-style-type: none"> ● intake sheet ● summary report ● notes ● supporting documentation ● correspondence 		
		<p>a. Informal process. Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.</p>	<p>DAA-GRS-2018-0002-0012 (GRS 2.3, item 110)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0007 (GRS 2.3, item 031) filed as NOAA Schedule 302-04, EEO Official</i></p>	<p>TEMPORARY. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</p>

			<p><i>Discrimination Complaint Case Files – Informal Process, previously filed as 312-01a, (GRS 1, item 25a in part);</i></p> <p>302-06, EEO Case Files that did not Result in an EEO Complaint, previously filed as 312-01c(1) and 312-01c(2), (GRS 1, item 25c1 and GRS 1, item 25c2)</p>	
		<p>b. Formal process. Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p> <p>Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).</p>	<p>DAA-GRS-2018-0002-0013 (GRS 2.3, item 111)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0016 (GRS 2.3, item 052) filed as NOAA Schedule 302-10c, Labor management relations arbitration records, previously filed as 307-01b, (GRS 1, item 28b)</i></p>	<p>TEMPORARY. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>
302-12	Records Documenting Contractor Compliance with EEO Regulations.	Reviews, background documents, and correspondence relating to contractor employment practices.	<p>DAA-GRS-2018-0002-0014 (GRS 2.3, item 120)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0010</i></p>	<p>TEMPORARY. Destroy when 7 years old, but longer retention is authorized if</p>

			<i>(GRS 2.3, item 034) filed as NOAA Schedule 302-07, EEO Compliance Review Files, previously filed as 312-01d(1), (GRS 1, item 25d(1))</i>	required for business use.
302-13	Labor Management Relations Agreement Negotiation Records.	<p>Labor management relations agreement negotiation records.</p> <p>Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence, memoranda, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 	<p>DAA-GRS-2018-0002-0015 (GRS 2.3, item 130)</p> <p><i>Supersedes: DAA-GRS-2015-0007-0014 (GRS 2.3, item 050) filed as NOAA Schedule 302-10a, Labor Management Relations Agreement Negotiation Records a. Office(s) responsible for negotiations, previously filed as 307-01a(1) (GRS 1, item 28a1) and 302-10b, All other offices</i></p>	<p>TEMPORARY.</p> <p>Destroy 5 years after expiration of agreement or final resolution of case, but longer retention is authorized if required for business use.</p>

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 Program individual Case Files.	Records documenting leave donation and receipt, 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.	DAA-GRS-2016-0015-0009 (GRS 2.4, item 071) <i>Supersedes NOAA Schedule Item:</i> <i>306-04, Donated Leave Program Case Files (GRS 1, item 37)</i>	TEMPORARY. 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).	DAA-GRS-2016-0015-0010 (GRS 2.4, item 080) <i>Supersedes NOAA Schedule Item:</i> <i>305-03, Wage Survey Files (GRS 1, item 38)</i>	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	DAA-GRS-2016-0015-0011 (GRS 2.4, item 090)	TEMPORARY. Destroy 3 years after date of

		<p>supervisory differentials offered under the Federal Employees Pay Comparability Act.</p>	<p><i>Supersedes NOAA Schedule Item:</i></p> <p><i>305-02, Pay Comparability Records (GRS 1, item 41)</i></p>	<p>approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.</p>
303-05	<p>Workers' Compensation (Personnel Injury Compensation) Records.</p>	<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.	DAA-GRS-2016-0015-0012 (GRS 2.4, item 100) <i>Supersedes NOAA Schedule Item:</i> <i>307-13, Personal Injury Files</i> (GRS 1, item 31)	TEMPORARY. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.
		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 denied, not appealed (GRS 1, item 35a)</i> <i>308-05b2 (GRS 1, item 35b2)</i>	TEMPORARY. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.
303-07	Child Care Subsidy Program Administrative Records.	Records related to managing the program, including: <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 similar records not linked to individual employee participation	DAA-GRS-2016-0015-0015 (GRS 2.4, item 120) <i>New Item</i>	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
303-08	Child Care Subsidy Program Individual Case Files.	Case files of individual employee participation in child care subsidy programs, such as: <ul style="list-style-type: none"> • enrollment documentation • applications and supporting documents • eligibility verification (employment, proof of income) 	DAA-GRS-2016-0015-0016 (GRS 2.4, item 121) <i>New Item</i>	TEMPORARY. Destroy 2 years after employee participation concludes, but longer retention

		<ul style="list-style-type: none"> • 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>		is authorized if required for business use.
		SEE NOAA Series 1006-01 FOR FEDERAL EMPLOYEE TRANSPORTATION SUBSIDY RECORDS (GRS 2.4 ITEM 130 AND GRS 2.4, ITEM 131)		
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>	TEMPORARY. Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.
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 	<p>DAA-GRS-2016-0015-0020 (GRS 2.4, item 141)</p> <p><i>New Item</i></p>	TEMPORARY. Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.

		<ul style="list-style-type: none"> • 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>		
303-11	Wage Mariner Pay Schedules	Pay schedules, annual hours of work, and other instructions for wage mariners employed on NOAA Office of Marine and Aviation and Operations ships and related correspondence at NOAA Office of Human Capital Services.	DAA-0370 -2020-0003-0001 (11/24/20)	TEMPORARY. Cutoff when superseded. Destroy 20 year(s) after cut-off.

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.

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
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 Schedule Item:</i> <i>302-04b(2), Records not specific to an agency separation initiative (GRS 1, item 17b2)</i>	TEMPORARY. Destroy when no longer required for business use.
		b. Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.	DAA-GRS-2014-0004-0002 (GRS 2.5, item 011) <i>Supersedes NOAA Schedule Item:</i> <i>302-04b(1), Records specific to an agency separation initiative (GRS 1, item 17b1)</i>	TEMPORARY. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.
304-02	Individual Employee Separation Case Files.	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: <ul style="list-style-type: none"> • records of counseling activities and outplacement services 	DAA-GRS-2014-0004-0003 (GRS 2.5, item 020) <i>Supersedes NOAA Schedule Item:</i> 308-01, Retirement Assistance Files (GRS 1, item 39)	TEMPORARY. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.

		<ul style="list-style-type: none"> • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • 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	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.	DAA-GRS-2014-0004-0004 (GRS 2.5, item 030) <i>New Item</i>	TEMPORARY. Destroy when no longer required for business use.

	Specialized Knowledge.	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.		
304-04	Individual Employee Separation Records Required to be Placed in Separating Employee's OPF.	As identified in the Office of Personnel Management (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 	(GRS 2.5, item 040)	Filing Instruction 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 when 3 years old or 3 years after revision or replacement as appropriate, 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:	DAA-GRS-2016-0007-0002 (GRS 2.5, item 051)	TEMPORARY. Destroy 1 year after

		<ul style="list-style-type: none"> • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • 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>	<i>New Item</i>	employee participation concludes or the employee retires, 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.

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
306	Employee Health and Safety Records			
		Non-occupational Health Records		

306-01	Clinic Scheduling Records.	<p>Scheduling records of clinic visits, both occupational and non-occupational.</p> <p>Includes:</p> <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>DAA-GRS-2017-0010-0001 (GRS 2.7, item 010)</p> <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>	<p>TEMPORARY.</p> <p>Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>
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>	<p>TEMPORARY.</p> <p>Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.</p>
306-03	Non-occupational Health and Wellness Program Records.	<p>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</p>	<p>DAA-GRS-2017-0010- 0013 (GRS 2.7, item 080)</p> <p><i>Supersedes NOAA Schedule Item:</i></p>	<p>TEMPORARY.</p> <p>Destroy 3 years after the project/activity/ or transaction is</p>

		<p>wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation.</p> <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><i>Supersedes NOAA Schedule Item: 307-10, Alcohol and Drug Abuse Program (GRS 1, item 26b)</i></p>	<p>completed or superseded, but longer retention is 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 	<p>DAA-GRS-2017-0010- 0014 (GRS 2.7, item 090)</p> <p><i>New Item</i></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>

		<p>o substance abuse assessment, treatment, aftercare, and monitoring records .</p> <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under 302-11b (item 061) and performance-based action files under 302-11c (item 062).</p>		
		<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. 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 Records.	<p>Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated 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,</p>	<p>DAA-GRS-2017-0010-0016 (GRS 2.7, item 100)</p> <p><i>Supersedes NOAA Schedule Item:</i></p>	<p>TEMPORARY. Destroy when 3 years old or when superseded or obsolete.</p>

		and the Department of Justice. Schedule these on agency-specific schedules.		
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.

		Workplace Health Assessments	New item 9-22	
306-09	Vaccination attestations and proof of vaccination records.	Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination.		
		<p>a. Federal employees and contractors. Applies only to records related to federal employees and contractors of the agency collecting the records.</p> <p>Note: If agencies file these records in occupational health files, use the disposition authority for occupational health files instead.</p>	DAA-GRS2021-0003-0001	TEMPORARY. Destroy when 3 years old.
		b. Visitors. Includes federal employees and contractors visiting from other agencies.	DAA-GRS2021-0003- 0002	TEMPORARY/ Destroy when 30 days old.
306-10	Symptom screening and testing records.	Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected. Includes: <ul style="list-style-type: none"> ● symptom check/screening data ● testing records/results 		
		a. Federal Employees. Applies only to records related to federal employees of the agency collecting the records.	DAA-GRS2021-0003- 0003	TEMPORARY. Destroy when 1 year old.
		b. Contractors and visitors. Includes federal employees that are visiting from another agency.	DAA-GRS2021-0003- 0004	TEMPORARY. .Destroy when 30 days 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>	(Formerly 311-02) NOAA Corps Directives Chapter 01, Part 6, Official Personnel Records Management.	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> <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.