

CHAPTER 6. TRAINING AND PERSONNEL MANAGEMENT

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
3000 TRAINING			
	The records described below are accumulated as a result of agency training programs and activities. They fall into 2 general groups: records that reflect the planning, direction, and conduct of training programs; and records relating to the progress and proficiency of the individual trainee. Excluded from the provisions of this paragraph are records of completion of training courses filed in official personnel folders.		
	General Correspondence Files. Correspondence, reports, and related documents reflecting the development and administration of agency programs relating to technical training associated with aviation (air traffic, airway facilities, flight standards, and airports); executive, supervisory, and managerial training; general employee development; and the direction and supervision of agency schools, but EXCLUDING files described elsewhere below.		
	a. Human Resources Training Office, Superintendent of FAA Academy, and Line of Business Training Divisions.		
	(1) Correspondence files relating to technical training associated with aviation.	PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 10 years old.	NC-237-75-3 Item 3 Approved 12/13/74
	(2) All others.	Destroy when 5 years old.	NC-237-75-3 Item 3 Approved 12/13/74
	2. Training Offices at the regional, office, service, and center levels.	Destroy when 5 years old.	NC-237-75-3 Item 3 Approved 12/13/74
	3. Employee Training Correspondence , memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.	GRS 1 Item 29(b)
	4. Employee Training and Proficiency Files. FAA Form 3120-1, Training and Proficiency Record. [NOTE: FAM Training is covered under item 7230(5) of this order.]	When transferring from an ATC facility to a staff position in the regional, Washington, Center or Academy office transfer to the OPF until the ATCS returns to an ATC facility. Upon termination of employment with the FAA transfer to the OPF for disposition with the OPF.	NC1-237-79-3 Item 3 Approved 11/14/79
	5. Requests for Out-of-Agency Training , such as FAA Form 3000-3, or equivalent, standard Form 182, Procurement Document.	Destroy when 1 year old. Destroy When 2 years old.	Destroy when 2 years old.

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3010	CATALOGS OF COURSES		OPR Action needed to request disposition authority.
3020	DEVELOPMENT AND METHODS		OPR Action needed to request disposition authority.
3030	EVALUATION		OPR Action needed to request disposition authority.
3100	TRAINING PROGRAMS.		
	1. Training Program Files. Training Records. EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as air traffic control, law enforcement, and national defense. [See note after item 3000(4).]		
	a. Correspondence, reports, course quotas, schedules, and related materials created in the establishment of specific technical, management, and specialized training programs and courses of instruction.	Destroy when 5 years old.	NC-237-75-3 Item 4 Approved 12/13/74
	b. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.		
	(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program.	GRS 1 Item 29(a)(1)
	(2) Background and working files.	Destroy when 3 years old.	GRS 1 Item 29(a)(2)
	2. Training Manuals and Related Instructional Directives.		
	a. Record copies maintained by the issuing or controlling office.	PERMANENT. Transfer superseded or obsolete record copy to NARA when 5 years old.	NC-237-75-3 Item 5 Approved 12/13/74
	b. All others.	Destroy when no longer required for administrative use.	Nonrecord

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	3. Individual Academic Training Files. Case files containing student attendance records, information on courses taken, personal and professional records, grades and certificates received, and related materials maintained by the Federal Aviation Academy for students participating in training courses conducted by the academy.	Transfer to FRC 3 years after separation from FAA. If separation date is unknown. Destroy 5 years after date of last action.	II-NNA-752 Item 16 Approved 6/11/54
3105	INSTRUCTOR		OPR Action needed to request disposition authority.
3110	MANAGEMENT AND SUPERVISORY		OPR Action needed to request disposition authority.
3115	INDIVIDUAL AND ORGANIZATIONAL DEVELOPMENT		OPR Action needed to request disposition authority.
3120	AIR TRAFFIC TRAINING	(see 3290(2)(c))	OPR Action needed to request disposition authority.
3125	AIRPORTS		OPR Action needed to request disposition authority.
3130	AIR NAVIGATION FACILITIES		OPR Action needed to request disposition authority.
3135	ENVIRONMENTAL QUALITY		OPR Action needed to request disposition authority.
3140	FLIGHT STANDARDS		OPR Action needed to request disposition authority.
3145	DIRECTED STUDY		OPR Action needed to request disposition authority.
3150	MEDICAL		OPR Action needed to request disposition authority.
3155	OUT-OF-AGENCY		OPR Action needed to request disposition authority.

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3160	ON-THE-JOB		OPR Action needed to request disposition authority.
3165	LOGISTICS MANAGEMENT		OPR Action needed to request disposition authority.
3170	NATIONAL AIRSPACE		OPR Action needed to request disposition authority.
3200	PERSONNEL MANAGEMENT		
The records described below relate to the development and operation of the agency's personnel management, occupational safety program activities, and environmental health records. They are generated by formally organized personnel offices in the development of agency personnel policies, standards, and procedures and the performance of personnel operations and services, and, where indicated, by operating offices in the supervision of employees. Records of local Boards of United States Civil Service Examiners are EXCLUDED from the provisions of this paragraph.			
General Correspondence Files. Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.			
	a. Office of Personnel and Technical Training.	Transfer to FRC when 3 years old. Destroy when 10 years old.	NC-237-75-3 Item 1 Approved 12/13/74
	b. Personnel offices providing centralized services for agency headquarters, regions, and centers.	Destroy when 3 years old.	GRS 1 Item 3
	c. Position Classification Standards Files. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.	Destroy when superseded or obsolete.	GRS 1 Item 7(a)(1)
	d. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.		
	(1) Case file.	Destroy 5 years after position is abolished or description is superseded.	GRS 1 Item 7(a)(2)(a)
	(2) Review File.	Destroy when 2 years old.	GRS 1 Item 7(a)(2)(b)
	2. Personnel Management Project Files. Case files resulting from studies and surveys of personnel management activities and functions.	Transfer to FRC when 3 years old. Destroy when 10 years old.	NC-237-75-3 Item 2 Approved 12/13/74

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	3. Personnel Management Project Working Files. Background material, notes, rough drafts, interim and progress reports summarized in final reports, and related papers.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.	Nonrecord
	4. Alternate Worksite Records		
	a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.	Destroy 1 year after end of employee's participation in the program.	GRS 1 Item 42(a)
	b. Unapproved requests.	Destroy 1 year after request is rejected.	GRS 1 Item 42(b)
	c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.	Destroy when 1 year old, or when no longer needed, whichever is later.	GRS 1 Item 42(c)
5. Electronic Copies of Records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.			
	d. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 1 item 43(a)
	e. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 1 Item 43(b)
3210	HUMAN RESOURCES MANAGEMENT		OPR Action needed to request disposition authority.
3250	MILITARY PERSONNEL MANAGEMENT		
	Military Personnel Files. Copies of orders of assignment, military histories, position descriptions, letters of designation, travel orders, effectiveness reports, and correspondence relating to military personnel assigned to FAA.	Destroy 1 year after all claims have been settled.	NC1-237-77-6 Item 1 Approved 6/13/77

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
3290	PERSONNEL PROGRAM RECORDS, FILES, AND REPORTS		
	1. Personnel Correspondence Files. Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.	Destroy when 3 year old.	GRS 1 item 3
	2. Official Personnel Folders. Records filed on the right side of the Official Personnel Folder (OPF). (See item 3, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.		
	a. Folders of employees transferred to another agency.	Follow instructions in Chapter 7 of the Guide to Personnel Recordkeeping.	GRS 1 Item 1(a)
	b. Folders of separated employees (includes consultants).	Transfer folder to National Personnel Records Center, St. Louis, Missouri, 30 days after separation. NPRC will Destroy 65 years after separation from Federal service.	GRS 1 Item 1(b)
	c. Training and Proficiency Files. FAA Form 3120-1, Training and Proficiency Record. [NOTE: FAM Training covered under item 7230(5) of this order.]	When transferring from an ATC facility to a staff position in the regional, Washington, Center or Academy office, transfer to the OPF until the ATCS returns to an ATC facility. Upon termination of employment with the FAA transfer to the OPF for disposition with the OPF.	NC1-237-79-3 Item 3 Approved 11/14/79
	3. Temporary Materials in Official Personnel Folders.		
	a. All copies of correspondence and forms maintained on the left side of the OPF in accordance with Chapter 3 of the Guide to Personnel Recordkeeping, EXCLUDING the Immigration and naturalization Service Form I-9 and performance-related records.	Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF.	GRS 1 Item 10(a)

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	b. Immigration and Naturalization Service Form I-9.	Destroy 3 years after employee separates from service or transfers to another agency.	GRS 1 Item 10(b)
4.	Employee Records Not Maintained in Official Personnel Folders. Correspondence and forms in personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.		
	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is completed.	GRS 1 Item 17(a)
	b. Retention registers and related records.		
	(1) Registers and related records used to effect reduction-in-force actions.	Destroy when 2 years old	GRS 1 Item 17(b)(1)
	(2) Registers from which no reduction-in-force actions have been taken and related records.	Destroy when superseded or obsolete	GRS 1 Item 17(b)(2)
	c. Supervisors' Personnel Files. Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	Review annually and Destroy superseded or obsolete documents, or Destroy file relating to an employee within 1 year after separation or transfer.	GRS 1 item 18(a)
	d. Duplicate Documentation. Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule.	Destroy when 6 months old.	GRS 1 item 18(b)
	e. All other correspondence and forms, including copies of records duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Destroy when 6 months old.	GRS 1 Item 17(c)
5.	Unofficial Personnel Folders. Employee folders maintained outside personnel offices consisting of materials pertaining to individual employees of the operating offices.	Review annually and Destroy superseded or obsolete documents, or Destroy file relating to an employee within 1 year after separation or transfer.	GRS 1 Item 18(a)
6.	Service Record Cards. Official summaries of employment history, Standard Form 7, or its equivalent.		

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	a. Cards for employees separated or transferred on or before December 31, 1947.	Transfer to National Personnel Records Center, St. Louis, Missouri. Destroy 60 years after earliest personnel action.	GRS 1 Item 2(a)
	b. Cards for employees separated or transferred on or after January 1, 1948.	Destroy 3 years after separation or transfer of employee.	GRS 1 Item 2(b)
	7. Employee Record Cards used for information purposes outside personnel offices (such as SF 7-B or equivalent).	Destroy on separation or transfer of employee.	GRS 1 Item 6
	8. Statistical Report Files. Statistical reports in personnel offices relating to personnel, including retained copies of reports to the Office of Personnel Management.	Destroy when 2 years old.	GRS 1 Item 16
3300 EMPLOYMENT			
	1. Appointment Files. Correspondence, letters, and telegrams offering appointments to potential employees.		
	a. Appointments accepted.	Destroy when appointment is effective.	GRS 1 Item 4(a)
	b. Offers of temporary or excepted appointments declined.	File with application. See 3300(2) for disposition.	GRS 1 Item 4(b)(2)
	c. Offers of appointments declined by individuals whose names were received from Office of Personnel Management certificates of eligible.	Return to Office of Personnel Management with reply and application.	GRS 1 Item 4(b)(1)
	d. All other offers of appointments declined.	Destroy immediately.	GRS 1 Item 4(b)(3)
	e. Handicapped Individuals Appointment Case Files. Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2.	Destroy 5 years following the date of approval or disapproval of each case.	GRS 1 Item 40
	2. Applicant Files. Pending or unsuccessful applications for appointment and related papers.		
	a. Records pertaining to appointments requiring Senatorial confirmation.	File in OPF.	NARA Bulletin 95-6 Approved 9/8/95

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	b. All others.	Destroy upon receipt of Office of Personnel Management inspection report or when 2 years old, whichever is earlier.	GRS 1 Item 15
	3. Certificate of Eligibles Files. Copies obtained from Office of Personnel Management of certificates of eligibles with related requests, forms, correspondence, and statements of reason for passing over a preference eligible and selecting a non-preference eligible.	Destroy when 2 years old.	GRS 1 Item 5
	4. Notification of Personnel Action Files. SF-50's documenting all individual personnel actions such as employment, promotions, transfers, and separation, exclusive of the copy in Official Personnel Folders.		
	a. Chronological file copies, including fact sheets.	Destroy when 2 years old.	GRS 1 Item 14(a)
	b. All others.	Destroy when 1 year old.	GRS 1 Item 14(b)
	5. Internal Promotion Plan Files. Announcements, bids, copies of registers, and selection papers maintained by personnel offices.	Destroy upon receipt of Office of Personnel Management report of inspection or when 2 years old, whichever is earlier, providing requirements of Federal Personnel Manual are observed.	GRS 1 Item 32
	6. Promotion Plan Announcement Files. Copies of promotion plan position vacancy notices maintained by operating offices.		
	a. Notices containing qualifications and requirements standards.	Destroy when canceled or superseded.	II-NNA-1306 Item 4 Approved 8/10/54
	b. All others.	Destroy 30 days after expiration date.	II-NNA-1306 Item 4 Approved 8/10/54
	7. Examining and Certification Records Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies, allowing for the examination and certification of applicants for employment.		
	a. Delegated agreements	Destroy 3 years after termination of agreement.	GRS 1 Item 33(a)

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	b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33(b)
	c. Test material stock control. Stock control records of examination test material including running inventory of test material in stock.	Destroy when test is superseded or obsolete.	GRS 1 Item 33(c)
	d. Application Record Card (OPM Form 5000A, or equivalent).	Cut off after examination. Destroy no later than 90 days after cut off.	GRS 1 Item 33(d)
	e. Examination Announcement Case Files Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their development.	Destroy 5 years after termination of related register.	GRS 1 Item 33(e)
	f. Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs). (NOTE: Destruction Authority does not include registers that have been requested as part of evidence to support and EEO complaint.)	Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff. When entire register is terminated, Destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM service center or 90 days after final action is taken on the certificate, whichever is sooner.) Destroy unless an EEO complaint has been filed that requests the register as part of the evidence.	GRS 1 Item 33(f)
	g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33(g)

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	h. Canceled and ineligible applications, supplemental forms, and attachments.	Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.	GRS 1 Item 33(h)
	i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Destroy when 6 months old	GRS 1 Item 33(i)
	j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.	Destroy 5 years after cut off	GRS 1 Item 33(j)
	k. Eligible applications.		
	(1) On active register.	Destroy upon termination of the register (except applications that may be brought forward to new register, if any).	GRS 1 Item 33(k)(1)
	(2) On inactive register.	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.	GRS 1 Item 33(k)(2)
	l. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33(l)
	m. Certificate Files. SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in case of appeal or legal action.	Cut off annually. Destroy 5 years after cut off.	GRS 1 Item 33(m)

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	n. Certification request control index.	Cut off annually. Destroy 1 year after cut off.	GRS 1 Item 33(n)
	o. Interagency Placement Program (IPP) application and registration sheet.	Destroy upon expiration of employee's eligibility.	GRS 1 Item 33(o)
	p. DEP control cards, if maintained	Cut off annually. Destroy 2 years after cut off.	GRS 1 Item 33(p)
	q. Reports of audits of delegated examining operations.	Destroy 3 years after date of the report.	GRS 1 Item 33(q)
3330	RECRUITMENT, SELECTION, AND PLACEMENT		
	Interview Records. Correspondence, reports, and other records relating to interviews with employees.	Destroy 6 months after transfer or separation of employee.	GRS 1 Item 8
3340	PROMOTION PLAN QUALIFICATION STANDARDS		
	Merit Promotion Case Files. Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.	GRS 1 Item 32
3345	MASS CHANGE		OPR Action needed to request disposition authority.
3350	JOB RETENTION		
	1. Retention Files. Retention registers, including card files and related papers, maintained by personnel offices to determine retention standing of employees.		
	a. Registers and related records used to effect reduction-in-force actions.	Destroy when 2 years old.	GRS 1 Item 17(b)(1)
	b. Records from which no reduction-in-force actions have been taken and related records.	Destroy when superseded or obsolete.	GRS 1 Item 17(b)(2)
	2. Reemployment Rights Files. Documents maintained to establish reemployment rights of individuals on overseas and other assignments.	Destroy 1 year after employee is reemployed or after the employee's reemployment rights expire.	

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3370	SEPARATIONS		OPR Action needed to request disposition authority.
3400	EMPLOYEE PERFORMANCE AND UTILIZATION		
	Performance Rating Board Files. Duplicate case files of performance rating boards of review, copies of which have been forwarded to the Office of Personnel Management.	Destroy 1 year after close of case.	GRS 1 Item 9
3410	EMPLOYEE AND CAREER DEVELOPMENT		OPR Action needed to request disposition authority.
3420	EMPLOYEE PERFORMANCE RATINGS		OPR Action needed to request disposition authority.
3430	PERFORMANCE EVALUATION		
	Employee Performance File System Records.		
	a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).		
	(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.	GRS 1 Item 23(a)(1)
	(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.	GRS 1 Item 23(a)(2)
	b. Performance-Related Records Pertaining to a Former Employee.		

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	(1) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.	Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23(a)(3)(b) of this schedule	GRS 1 Item 23(a)(3)(a)
	(2) All other performance plans and ratings	Destroy when 4 years old.	GRS 1 Item 23(a)(3)(b)
	(3) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy 4 years after date of appraisal	GRS 1 Item 23(a)(4)
	(4) Supporting documents.	Destroy 4 years after date of appraisal.	GRS 1 Item 23(a)(5)
	c. SES Appointees (As Defined in 5 U.S.C. 3132a(2)). Performance records superseded through an administrative, judicial, or quasi-judicial procedure	Destroy when superseded.	GRS 1 Item 23(b)(1)
	d. Performance-related records pertaining to a former SES appointee.		
	(1) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.	Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23(b)(2)(b) of this schedule.	GRS 1 Item 23(b)(2)(a)
	(2) All other performance ratings and plans.	Destroy when 5 years old.	GRS 1 Item 23(b)(2)(b)
	(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).	Destroy 5 years after date of appraisal.	GRS 1 Item 23(b)(3)
	(4) Supporting documents.	Destroy 5 years after date of appraisal.	GRS 1 Item 23(b)(4)

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3450	EMPLOYEE RECOGNITION AND INCENTIVES		
	1. Incentive Awards Files.		
	a. Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval.	GRS 1 Item 12(a)(1)
	b. Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.	Destroy when 2 years old.	GRS 1 Item 12(a)(2)
	c. Length of service and sick leave awards files. Records including correspondence, reports, computations of service and sick leave, and lists of awardees.	Destroy when 1 year old.	GRS 1 Item 12(b)
	d. Letters of commendation and appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.	Destroy when 2 years old.	GRS 1 Item 12(c)
	e. Lists or indexes to agency award nominations. Lists of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete.	GRS 1 Item 12(d)
	2. Incentive Awards Program Reports. Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.	GRS 1 Item 13
3500	POSITION CLASSIFICATION, PAY, AND ALLOWANCES		
	1. Position Descriptions.		
	a. Record copies maintained by Personnel offices.	Destroy 2 years after position is abolished or description superseded.	GRS 1 Item 7(b)
	b. All others.	Destroy after position is abolished or description superseded.	Nonrecord
	2. Position Identification Strips. Visible strips used to provide summary data on each established position.	Destroy when superseded or obsolete.	GRS 1 Item 11

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	3. Annual Supervisory Position Review. Annual position review and certification submitted by all supervisors to regional personnel offices.	Destroy when 3 years old or 2 years after regular inspection whichever is sooner.	
	4. Survey Files.		
	a. Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner	GRS 1 Item 7(c)(1)
	b. Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.	Destroy when obsolete or superseded.	GRS 1 Item 7(c)(2)
	5. Appeals Files.		
	a. Case files relating to classification appeals, EXCLUDING OPM classification certificate.	Destroy 3 years after case is closed.	GRS 1 Item 7(d)(1)
	b. Certificates of classification issued by OPM.	Destroy after affected position is abolished or superseded.	GRS 1 Item 7(d)(2)
3510	POSITION CLASSIFICATION AND JOB EVALUATION		
	1. Standards and Guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.	Destroy when superseded or obsolete.	GRS 1 Item 7(a)(1)
	2. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.		
	a. Case file.	Destroy 5 years after position is abolished or description is superseded.	GRS 1 Item 7(a)(2)(a)
	b. Review File.	Destroy when 2 years old.	GRS 1 Item 7(a)(2)(b)
3550	PAY ADMINISTRATION		

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	1. Wage Survey Files. Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates EXCLUDING authorized wage schedules and wage survey recapitulation sheets.	Destroy after completion of second succeeding wage survey.	GRS 1 Item 38
	2. Pay Comparability Records. Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.	Destroy after 3 subsequent reports have been filed.	GRS 1 Item 41
3590 ALLOWANCES AND DIFFERENTIALS			OPR Action needed to request disposition authority.
3600 ATTENDANCE AND LEAVE			
	1. Leave Record.		
	a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.	File on right side of OPF.	GRS 2 Item 9(a)
	b. Creating agency copy, when maintained.	Destroy when 3 years old.	GRS 2 Item 9(b)
	2. Length of Service and Sick Leave Awards Files. Records including correspondence, reports, computations of service and sick leave, and lists of awardees.	Destroy when 1 year old.	GRS 1 Item 12(b)
	3. Lists or Indexes to Agency Award Nominations. List of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete.	GRS 1 Item 12(d)
	4. Leave Application Files. SF 71 or equivalent plus any supporting documentation for requests and approvals of leave.		
	a. If employee initials time card or equivalent.	Destroy at end of following pay period.	GRS 2 Item 6(a)
	b. If employee has not initialed time card or equivalent.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 6(b)

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	5. Time and Attendance Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flextime records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2 Item 7
	6. Time and Attendance Input Records. Records in either paper or machine-readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2 Item 8
	7. Donated Leave Program Case Files. Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.	Beginning in January 1994, Destroy 1 year after the end of the year in which the file is closed.	GRS 1 Item 37
3700	PERSONNEL RELATIONS AND SERVICES		OPR Action needed to request disposition authority.
3710	LABOR MANAGEMENT/EMPLOYEE RELATIONS		
	1. Labor Management Relations Policy Records. Correspondence, memoranda, reports and other related material concerning labor-management relations policies in the FAA.		
	a. National labor management agreements, relating to occupations peculiar to FAA, e.g., Air Traffic Controllers, Airway Facility employees, Flight Standards Inspectors.	PERMANENT. Transfer to FRC when 10 years old or sooner, if inactive. Offer to NARA when 20 years old.	NC1-237-77-4 Item 3 Approved 4/7/77
	b. All other FAA labor management agreements, at both national and local levels relating to clerical and other types of employees common to most Federal agencies.		
	(1) Office negotiating agreement.	Destroy 5 years after expiration of agreement.	GRS 1 Item 28(a)(1)
	(2) Other offices.	Destroy when superseded or obsolete.	GRS 1 Item 28(a)(2)

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	2. Labor Relations Agreements Files. Case files developed in negotiations for collective bargaining agreements or contracts, and related mediations and impasses. Includes proposals, minutes of meetings, transcripts, draft and approved agreements, and related correspondence.		
	a. National agreements.	PERMANENT. Transfer closed case files to FRC when 10 years old. Offer to NARA when 15 years old.	NC-174-102 Item 1 Approved 1/10/74
	b. Regional and local agreements.	Destroy closed case files 5 years after termination of recognition of bargaining agent, including records of negotiations where no agreement was reached.	NC-174-102 Item 1 Approved 1/10/74
	3. Labor Relations Arbitration Files.		
	a. Case files developed in the arbitration of grievances and disputes over interpretation and application of labor agreements. Includes complaints, reports of investigation, hearing transcripts, decisions, appeals, and related correspondence.	PERMANENT. Transfer closed case files to FRC when 10 years old. Offer to NARA when 15 years old.	NC-174-102 Item 2 Approved 1/10/74
	b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.	GRS 1 Item 28(b)
	4. Labor Relations Complaints Files. Case files relating to union grievances and disputes that are resolved short of arbitration, and to unfair labor practice complaints. Includes complaints, reports, decisions, and related correspondence.	Destroy closed case files when 5 years old.	NC-174-102 Item 3 Approved 1/10/74
3730 DRUG ABUSE			
Federal Workplace Drug Testing Program Files. Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f).			
This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.			

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	<p>1. Drug Test Plans and Procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedural handbooks, operating manuals, and the like.)</p> <p>Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.</p>	<p>Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. Any records covered by this schedule which are relevant to litigation or disciplinary action should be disposed of no earlier than the related litigation or adverse action case file(s).</p>	GRS 1 Item 36(a)
	<p>2. Employee Acknowledgement of Notice Forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.</p>	<p>Destroy when employee separates from testing-designated position. Any records covered by this schedule which are relevant to litigation or disciplinary action should be disposed of no earlier than the related litigation or adverse action case file(s).</p>	GRS 1 Item 36(b)
	<p>3. Selection/Scheduling Records. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.</p>	<p>Destroy when 3 years old. Any records covered by this schedule which are relevant to litigation or disciplinary action should be disposed of no earlier than the related litigation or adverse action case file(s).</p>	GRS 1 Item 36(c)
	<p>4. Records Relating to the Collection and Handling of Specimens.</p>		
	<p>a. "Permanent" Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.</p>	<p>Destroy 3 years after date of last entry. Any records covered by this schedule which are relevant to litigation or disciplinary action should be disposed of no earlier than the related litigation or adverse action case file(s).</p>	GRS 1 Item 36(d)(1)
	<p>b. Chain of custody records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.</p>	<p>Destroy when 3 years old. Any records covered by this schedule which are relevant to litigation or disciplinary action should be disposed of no earlier than the related litigation or adverse action case file(s).</p>	GRS 1 Item 36(d)(2)

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	5. Test Results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.		
	a. Positive results.		
	(1) Employees.	Destroy when employee leaves agency or when 3 years old, whichever is later.	GRS 1 Item 36(e)(1)(a)
	(2) Applicants not accepted for employment.	Destroy when 3 years old.	GRS 1 Item 36(e)(1)(b)
	b. Negative results.	Destroy when 3 years old.	GRS 1 Item 36(e)(2)
	NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by Item 3710, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 3730 (a)-(e) that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).		
	6. Personnel Counseling Files. Reports of interviews, analyses, and related records.	Destroy 3 years after termination of counseling.	GRS 1 Item 26(a)
	7. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.	Destroy when 3 years old.	GRS 1 Item 26(b)
3750 FINANCIAL DISCLOSURE REPORTS			
	Reports and Related Documents submitted by individuals as required under the Ethics in Government Act of 1978 (Pub. L. 95-521). [See note after item 1(C).]		
	a. Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.	Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	GRS 1 Item 24(a)(1)
	b. All other records including SF 278.	Destroy when 6 years old, EXCEPT documents needed in an ongoing investigation, which will be retained until no longer needed in the investigation.	GRS 1 Item 24(a)(2)

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	C. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222. [NOTE: See item 1500, Travel Files, for semiannual reports to the Office of Government Ethics on non-Federally funded travel.]	Destroy when 6 years old, EXCEPT documents needed in an ongoing investigation, which will be retained until no longer needed in the investigation.	GRS 1 Item 24(b)
	2. Standards of Conduct Files. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.	GRS 1 Item 27
3770 GRIEVANCES, APPEALS, AND HEARINGS			
	1. Administrative Grievance Files. (5 CFR 771). Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Destroy 5 years after close of case, or 5 years after conclusion of any court action.	GRS 1 Item 30(a)
	2. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.	Destroy 5 years after close of case, or 5 years after conclusion of any court action.	GRS 1 Item 30(b)
3790 SERVICES TO EMPLOYEES (INCLUDES HEALTH PROGRAMS)			
	Individual Non-Occupational Health Record Files. Forms, correspondence, and other records, including summary records documenting an individual employee's medical history, physical condition, and visits to Government health facilities for non-work related purposes, EXCLUDING records covered by item 3910(1) of this schedule.	Destroy 6 years after date of last entry.	GRS 1 Item 19
3800 INSURANCE AND ANNUITIES			
	Denied Health Benefits Requests Under Spouse Equity. Denied eligibility files consisting of applications, court orders, denial letters, letters of appeal, and related papers.		

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	a. Health benefits denied, not appealed.	Destroy 3 years after denial.	GRS 1 Item 35(a)
	b. Health benefits denied, appealed to OPM for reconsideration.		
	(1) Appeal successful - benefits granted.	Create enrollment file in accordance with Subchapter S17 of the Federal Employee Health Benefits Handbook.	GRS 1 Item 35(b)(1)
	(2) Appeal unsuccessful - benefits denied.	Destroy 3 years after denial.	GRS 1 Item 35(b)(2)
Note: Pursuant to Subchapter S17 of the FEHB Handbook enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.			
3900 EMPLOYEE HEALTH AND SAFETY			
	1. Personal Injury Files. Forms, reports, correspondence, and related medical and investigation records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.	GRS 1 Item 31
	2. Occupational Injury and Illness Files. Reports and summaries, such as FAA Form 3900-6, OSHA 102F, and OSHA 102FF, and related materials maintained by occupational safety offices, and copies retained by reporting officials. This item does not include reports filed as part of official personnel folders (item 3290(1)), tort claims case files (item 2250(1)), or motor vehicle management records.	Destroy when 5 years old, or 5 years after corrective action is taken in cases involving deficiencies.	GRS 1 Item 34
	3. Safety and Health inspection Files. Inspection checklists, such as FAA Form 3900-1 or equivalent, and related correspondence documenting results of safety, health, and fire hazard inspections and any corrective actions taken.		
	a. Records of negative findings.	Destroy when 5 years old.	NC1-237-84-4 Item 2 Approved 10/1/84
	b. Records of deficiencies that are corrected locally.	Destroy 5 years after corrective action is taken.	NC1-237-84-4 Item 2 Approved 10/1/84
	c. Records of deficiencies that are submitted to higher authority for resolution.	Destroy 5 years after corrective action is taken.	NC1-237-84-4 Item 2 Approved 10/1/84

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	4. Occupational Health Survey Reports. Reports containing data such as, radiation measurements, sound level measurements and results, and air samplings.		
	(1) Reports not microfilmed.	Transfer to FRC when 5 years old. Destroy when 15 years old.	NC1-237-84-4 Item 1 Approved 10/1/84
	(2) If microfilmed:		
	(a) Original records. Microfilm in accordance with 36 CFR 1230.	Destroy original records when microfilm is determined to be an adequate substitute for paper records.	NC1-237-84-4 Item 1 Approved 10/1/84
	(b) Microfilm of original records.	Destroy when 15 years old.	NC1-237-84-4 Item 1 Approved 10/1/84
	5. Acoustic and Audiometric Files. Records containing audiograms, charts, graphs, and tables showing an individual hearing threshold. Audiometric test files containing individual's name and job classification, date of audiogram, examiner's name, date of last acoustic or exhaustive calibration and employee's most recent noise exposure assessment. Correspondence and reports related to noise exposure measurements.		
	a. Noise exposure measurement files.	Destroy after 2 years.	NC1-237-84-3 Item 1(a) Approved 10/1/84
	b. Audiometric test files.	Destroy after separation or transfer of affected employee.	NC1-237-84-3 Item 1(b) Approved 10/1/84
3910	OCCUPATIONAL AND ENVIRONMENTAL HEALTH RECORDS		
	1. Employee Medical Folder (EMF). Long-term medical records as defined in 5 CFR part 293, subpart E.		
	a. Transferred employees.	See 5 CFR part 293, subpart E for instructions.	GRS 1 item 21(a)(1)

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	b. Separated employees.	Transfer to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will Destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.	GRS 1 Item 21(a)(2)
2.	Temporary or Short-Term Records as Defined in the FPM.	Destroy 1 year after separation or transfer of employee.	GRS 1 Item 21(b)
3.	Individual Employee Health. Case Files Created Prior to Establishment of the EMF System that have been retired to an FRC.	Destroy 60 years after retirement to FRC.	GRS 1 Item 21(c)
4.	Employee Health Record Cards. DOT Form F3901.1, Individual Environmental Health Record, and equivalent.	Forward cards of employees transferring within the FAA to the medical official at the gaining organization. Destroy 2 years after last entry.	GRS 1 Item 19
5.	Medical Logs and Registers. Logs and registers of visits to dispensaries, first aid rooms, and health units.		
	a. Where information is summarized on statistical reports.	Destroy 3 months after last entry.	GRS 1 Item 20(a)
	b. Where information is not otherwise summarized.	Destroy 2 years after last entry.	GRS 1 Item 20(b)
6.	Employee Health Statistical Summaries and Reports, and related paperwork pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date of summary or report.	GRS 1 Item 22
7.	Medical Records of Persons Not Appointed to FAA Positions (unsuccessful applicants).	Destroy 3 years after date of examination, provided that Federal Personnel Manual requirements are met.	NC1-237-77-7 Item 5 Approved 9/23/77
8.	X-Ray Files. X-rays made in connection with employee health programs maintained by agency medical offices.		
	a. Pathological. Employee's pathological X-rays, post accident X-rays, and related examinations and morbidity records maintained by agency offices.	Destroy when 55 years old.	NC1-237-79-2 Item 4 Approved 2/8/79

Item No.	Title and Description of Records (All Records Series are temporary except where indicated)	Disposition	Authority
	b. Nonpathological.	Destroy when 5 years old.	NC1-237-79-2 Item 4 Approved 2/8/79
3920	PREVENTIVE MEDICINE AND INDUSTRIAL HYGIENE		OPR Action needed to request disposition authority.
3930	EMPLOYEE MEDICAL EVALUATION		OPR Action needed to request disposition authority.
3940	DISPENSARY SERVICES		
	1. Medical Records of Non-FAA Employees Visiting FAA Facilities to receive first aid or emergency treatment.	Destroy 5 years after treatment date.	NC1-237-77-7 Item 6 Approved 9/23/77
	2. Individual Non-Occupational Health Record Files. Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.	Destroy 6 years after date of last entry.	GRS 1 Item 19