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U.S. DEPARTMENT OF COMMERCE

Eastern Administrative Support Center
Norfolk Federal Building
200 Granby Street, Room 815
Norfolk, VA 23510

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MEMORANDUM FOR: Performance Rating Officials
FROM: *Kathleen M. Carlson*
Kathleen M. Carlson
Human Resources Manager
SUBJECT: Maintenance of Employee Performance Files (EPF)

For several years, line offices have been responsible for the maintenance of Employee Performance Files (EPF) for non-SES employees. The Human Resources Division (HRD) continues to receive inquiries regarding what belongs in the EPF, when that material should be purged, and when the EPF should be forwarded to HRD. I would like to take this opportunity to remind you of the requirements for maintaining the EPF.

- *Content:* The EPF contains the original of the employee's current performance plan (CD-516), and no more than four previous plans (either CD-516, its predecessor CD-396, or, for our DOC Demonstration Project clients, the CD-541.) The EPF must also contain the original Recommendation for Recognition (CD-326 or CD-326N) for Special Act Awards, Cash-In-A-Flash Awards, Cash-In-Your Account Awards (NOAA's version of cash-in-a-flash,) Suggestion Awards (CD-170), etc., Within Grade Increase Certification forms, and forms documenting the completion of a probationary period. The EPF may contain any other form or document that is performance-related, e.g., recommendations for training that are performance related, quality control or production records used to track employee performance, individual development plans, etc .
- *Retention & Destruction:* Performance plans must be retained for four years. With certain limited exceptions, you may retain most other files up to four years. Your Human Resources Advisor will alert you to specific circumstances in which you will need to retain records for longer or shorter periods. When purging an EPF, ensure that the documents are shredded or burned.
- *Access:* These records are subject to the Privacy Act and must be protected from improper disclosure. The employee, his or her designated representative, or an agency official who has a need for the documents for official purposes, must be given access to the file. The files must be kept in a locked file cabinet.



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- *Transfer:* When an employee transfers within DOC or to another Federal agency, the EPF must be sent to the EASC Human Resources Division for forwarding to the new organization. The file should contain four performance plans plus the interim rating if the employee has served in the current position for at least 120 days.
- *Resignations/Retirements:* When an employee resigns or retires, the EPF must be sent to the EASC Human Resources Division to be purged and merged with the employee's Official Personnel Folder(OPF) before that file is forwarded to the National Personnel Records Center.

If you have any questions concerning the content or handling of an EPF, please ask your Human Resources Advisor.