

## GRS 2.2 Employee Management Records

This file contains two documents. The Draft Schedule contains the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule.

THE SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
February 2022

**DRAFT**

## GENERAL RECORDS SCHEDULE 2.2: Employee Management Records

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.

Item	Records Description	Disposition Instruction	Disposition Authority
010 - 020	No change		
030	<p><b>Employee incentive award records.</b> 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><b>Exclusion:</b> Records of Department-level awards require agency-specific schedules.</p> <p><i>Supersedes: DAA-GRS-2017-0007-0003</i></p>	<b>Temporary.</b> Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2022-000X-0001
040 - 073	No change		
080	<b>SUPERSEDED</b> (Supervisors' personnel files) [DAA-GRS-2017-0007-0012 will be superseded by GRS 2.2, items 082 and 083]		
081	<p><b>Supervisors' personnel files.</b> Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on</p>	<p><b>Official recordkeeping copies of records scheduled elsewhere in the GRS.</b> See GRS 2.2 FAQs for examples.</p> <p><b>Note:</b> If a supervisor holds the recordkeeping copy of records schedule elsewhere in the GRS, the</p>	Apply the appropriate GRS disposition.

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	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.	supervisor must follow the applicable GRS item's disposition instructions.		
082		<p><b>Non-recordkeeping copies.</b> Includes copies of records upon which the supervisor acts, but then forwards for final action.</p> <p><i>Supersedes: DAA-GRS-2017-0007-0012 (in part)</i></p>	<b>Temporary.</b> Destroy when no longer needed for business.	DAA-GRS-2022-0007-0002
083		<p><b>All other records.</b> Records that are unique to the supervisors' personnel file and not subject to another approved disposition authority.</p> <p><i>Supersedes: DAA-GRS-2017-0007-0012 (in part)</i></p>	<b>Temporary.</b> Destroy 1 year after employee separation or transfer.	DAA-GRS-2022-0007-0003
090	<p><b>Records related to official passports.</b> The Department of State issues official passports to people traveling abroad to carry out official duties on behalf of the U.S. Government.</p> <p><b>Exclusion:</b> Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>	<p><b>Application records.</b> Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> <li>● copies of passport and visa applications</li> <li>● passport and visa requests</li> <li>● special invitation letters</li> <li>● visa authorization numbers</li> <li>● courier receipts</li> <li>● copies of travel authorizations</li> </ul> <p><i>Supersedes: DAA-GRS-2017-0007-0013</i></p>	<b>Temporary.</b> Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2022-0007-0004
091-120	No change			



Office of the Chief  
Records Officer for the  
U.S. Government

**Date:** January 10, 2022  
**Appraiser:** Andrea M. Riley, ACRS  
**Agency:** General Record Schedules (GRS)  
**Subject:** DAA-GRS-2022-000X

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## **INTRODUCTION**

### **Schedule Subject**

GRS 2.2, Employee Management Records - Revision

### **Additional Background Information**

NARA is revising GRS 2.2, Employee Management Records, to enable a computer to convert disposition instructions into code that it can implement. In other words, we seek to make the instructions machine-implementable. These instructions must have only one retention type in order for the computer to know what to do. A retention type identifies the general point in time when retention starts, either at the point of creation (an age- or creation-based retention, such as “Destroy when 3 years old”) or when a certain event occurs (an event-based retention, such as “Destroy 3 years after final action”). We are also using this opportunity to clarify disposition of records in supervisors’ personnel files (previously GRS 2.2, item 080).

The following changes have been made to this schedule:

- Revisions to item 030, Employee incentive award records, and item 090, Records related to official passports – Application records, to simplify the disposition instructions.
- GRS 2.2, item 080, Supervisors’ personnel files, has been superseded and replaced with two new items (082 and 083) and an instruction (081) to clarify that these files are often made up of recordkeeping copies of records scheduled elsewhere in the GRS, non-recordkeeping copies, and unique information.

### **Overall Recommendation**

Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

## **APPRAISAL**

### **Item 0001 (GRS 2.2, 030): Employee incentive award records.**

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Records relate to administrative housekeeping activities. Rewarding employees is a common, routine activity related to the human resource management function, which is an administrative support function of the federal government. These records do not document significant decisions of federal officials (note that departmental awards are specifically excluded from this item because they do tend to involve decisions from senior level agency officials, and therefore could have more significance, which is why they are excluded from the GRS). Therefore, the records are considered administrative housekeeping records.

\*Previously approved as temporary.

- DAA-GRS-2017-0007-0003, Employee incentive awards

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The previous retention for these records was when 2 years old or 2 years after the award is approved or disapproved. The new retention simplifies the instruction to destroy when 2 years old. The event-based retention applied to award nominations, but given it is unlikely that there is going to be a long period of time between nomination and approval, it seems unnecessary to include the event-based disposition instruction.

**Media Neutrality:** Approved

**Item 0002 (GRS 2.2, 082): Supervisors' personnel files - Non-recordkeeping copies.**

This item has been created to provide disposition for non-recordkeeping copies of records that are often filed in supervisors' personnel files.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Records relate to administrative housekeeping activities. These records relate to the administrative function of human resources management.

\*Previously approved as temporary. DAA-GRS-2017-0007-0012, Supervisors' personnel files.

\*Similar records have been scheduled as temporary. Administrative non-recordkeeping copies (copies of records that are neither the official recordkeeping copy nor maintained simply for ease of reference) have often been scheduled as temporary in General Records Schedules. For example:

- GRS 1.1, item 010, Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting – All other copies (DAA-GRS-2013-0003-0002)
- GRS 1.2, item 022, Grant and cooperative agreement case files (DAA-GRS-2013-0008-0002)

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The previous retention for supervisors' personnel files was "Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer." This instruction implies that the files tend to have records that become superseded and can be weeded out on an annual basis. In practice, however, these files tend to contain records that are already scheduled by another General Records Schedule (or possibly even an agency-specific schedule) and therefore the instruction should have been to review annually and destroy records that are eligible for destruction. Other records in these files are non-recordkeeping copies of these same types of records (such as forms that require a supervisor's

signature). We are providing a new item that covers these non-recordkeeping copies and allows for their destruction when no longer needed, in line with the disposition of similar non-recordkeeping copies for other administrative tasks, and eliminates the requirement to keep these non-recordkeeping copies either as long as the recordkeeping copy or until employee separation.  
**Media Neutrality:** Approved

**Item 0003 (GRS 2.2, 083): Supervisors' personnel files – All other records.**

This item has been created to provide disposition authority for any records that may be filed in supervisors' personnel files that are not scheduled elsewhere or that are not non-recordkeeping copies. It is possible that a supervisor may have no such records in their files.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Records relate to administrative housekeeping activities. These records relate to the administrative function of human resources management.

\*Previously approved as temporary. DAA-GRS-2017-0007-0012, Supervisors' personnel files (in part).

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The previous retention for supervisors' personnel files was "Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer." As this item is intended to cover any records that would not be weeded out of the file during an annual review (either because disposition was met under another authority or the records are non-recordkeeping copy), this item retains the previously approved retention instruction to keep these records until 1 year after employee separation or transfer.

**Media Neutrality:** Approved

**Item 0004 (GRS 2.2, 090): Records related to official passports - Application records.**

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Records relate to administrative housekeeping activities. These records relate to the administrative task of obtaining official passports for federal employees. Additionally, these records are agency copies of the application records that are ultimately maintained by the US Department of State (N1-059-05-011, item 2, Requests for Passports), where the records are maintained for 25 years.

\*Previously approved as temporary.

- DAA-GRS-2017-0007-0013, Records related to official passports - Application records.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. The previous retention for these records was either when 3 years old or upon employee separation or transfer, whichever is sooner. This allowed for destruction of application records if an employee left an agency before the 3 year retention period was met. Given the already short retention period for these records, we are standardizing retention for ease of automating disposition with a simple, age-based retention for all records covered by this item.

**Media Neutrality:** Approved

*Andrea M. Riley*

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Appraiser

Supervisor Concurrence: