

Additions to  
GRS 2.5  
Employee Separation Records

This file contains two documents. The draft schedule is proposed as an addition to a General Records Schedule. The Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. There is no crosswalk because the proposed items do not supersede anything in the current GRS.

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National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
November 6, 2015

## [Additions to] GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

| Item | Records Description  | Disposition Instruction  | Disposition Authority         |
|------|--|--|-------------------------------|
| 050  | <p><b>Phased retirement administrative records.</b><br/>Records related to managing the program, including:</p> <ul style="list-style-type: none"> <li>• agency-produced guidance</li> <li>• informational/marketing/publicizing materials</li> <li>• general correspondence</li> <li>• reports to OPM</li> <li>• MOU and significant documentation of negotiations with bargaining unit</li> <li>• documentation of program structure and details as uniquely instituted by agency</li> </ul> <p><b>Exclusion:</b> This item does not cover records held at OPM office overseeing the phased retirement program for the entire Government.</p>  | <p><b>Temporary.</b> Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2016-000x-0001</p> |
| 051  | <p><b>Phased retirement individual case files.</b><br/>Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> <li>• application</li> <li>• evidence of eligibility</li> <li>• reviews/recommendations by supervisor and others</li> <li>• notice of approval or disapproval</li> <li>• retirement benefit estimates</li> <li>• annuity calculations</li> <li>• agreement</li> <li>• records documenting knowledge transfer activities</li> <li>• confidentiality agreement with mentees</li> <li>• action/project plans and logs</li> <li>• correspondence</li> </ul> <p><b>Exclusion:</b> This item does not cover records held at OPM concerning staff at other agencies.</p> | <p><b>Temporary.</b> Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.</p>                            | <p>DAA-GRS-2016-000x-0002</p> |



## NATIONAL ARCHIVES

**Date:** November 6, 2015  
**Appraiser:** Galen R. Wilson, ACNR  
**Agency:** General Records Schedules (GRS) GRW for AMR, 11/6/2015  
**Subject:** DAA-GRS-2016-000x

### INTRODUCTION

#### Schedule Overview

Additions to GRS 2.5: Employee Separation Records

#### Additional Background Information

The Office of Personnel Management (OPM) published final rules for the phased retirement program on August 6, 2014. Under this program, federal employees who have reached retirement eligibility via specific age and number of years of service may opt to work part-time while collecting half of their annuity rate. The program was devised to establish a methodology to retain institutional knowledge responding to an era when many thousands of Federal employees of many years' service were becoming eligible for retirement. OMB advertised the program's main purpose as mentoring and training employees who will ultimately assume the duties of more experienced employees preparing for full retirement.

#### Overall Recommendation

I recommend approval of this schedule.

### APPRAISAL

#### **Item 0001 (GRS 2.5, item 050): Phased retirement administrative records.**

While OPM has established certain parameters for how the program functions, agencies have a certain amount of latitude in establishing considerable policy detail. For instance, an agency is empowered to determine how long its own employees may remain in a phased retirement status before fully retiring. Records in this series document establishment of a phased retirement program in an agency and its general administration such as internal marketing efforts.

#### **Proposed Disposition**

Temporary

#### **Appropriateness of Proposed Disposition**

Appropriate.

#### **Appraisal Justification**

\*Has little or no research value. The records are administrative in nature. It may be tempting to think of these records as having research potential simply because the program is (at this point) new and therefore ground-breaking. But at root, this program is simply a variation on the very routine business function of processing retirements from the workforce.

#### **Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. The proposed retention aligns with that proposed for administrative records created by a number of other human-resource programs in proposed (but not yet approved) GRS 2.1 and 2.2. Three-year retention of general records is also an emerging best practice.

**Media Neutrality**

Approved

**Item 0002 (GRS 2.5, item 051): Phased retirement individual case files.**

Case files documenting phased retirement actions specific to an individual function like the usual retirement case file, but they differ because they contain additional unique records such as documentation of eligibility for the program, an agreement to be in the program, confidentiality agreements with those being mentored by the retiring individual.

**Proposed Disposition**

Temporary

**Appropriateness of Proposed Disposition**

Appropriate

**Appraisal Justification**

\*Has little or no research value. The records are administrative in nature.

**Adequacy of Proposed Retention Period**

Adequate from the standpoint of legal rights and accountability. Retention is longer than that for “regular” retirement case files (GRS 2.5, item 020—DAA-GRS-2014-0004-0003). But phased retirement implies continued connection with the agency via mentoring. This continued business interest of the agency is acknowledged in the longer retention.

**Media Neutrality**

Approved



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