

## **Frequently Asked Questions (FAQs) about GRS 2.2, Employee Management Records**

July 2017

### **1. What is the purpose of GRS 2.2?**

This schedule provides disposition authority for records Federal agencies when managing employees. Topics include personnel actions and files, employee performance records, and supervisors' records. This GRS addresses records of Federal civilian employment and volunteer service.

### **2. Whom do I contact for further information about this schedule?**

Please contact NARA's General Records Schedules Team at [GRS\\_Team@nara.gov](mailto:GRS_Team@nara.gov) with questions about this schedule.

### **CHANGES FROM THE OLD GRS**

### **3. How does GRS 2.2 differ from the old GRS?**

GRS 2.2 updates many existing authorities from GRS 1, as well as a few items located in GRS 9 and GRS 21.

We added 6 new items to this schedule:

Item 020, Workforce and succession planning records

Item 092, Records related to official passports- Passports

Item 100, Volunteer service program administrative records

Items 110 and 111, Volunteer service case files

Item 120, Skill set records

### **4. Which old GRS items did you rescind, and why?**

We rescinded 5 items, all from GRS 1. Item 1a served as a filing/handling instruction and never had an associated NARA disposition authority. Items 2a and 2b covered the Service Record Card (SF 7) which became obsolete in 1994. Item 6 provided disposition authority for the Employee Record Card (SF 7b) system which became obsolete in 1993. We rescinded item 13, Incentive Awards Program Reports, because agencies are no longer required to complete OPM Form 1465. OPM now uses awards data extracted from the Enterprise Human Resources Integration-Statistical Data Mart to report Government-wide data on cash and time-off awards.

### **QUESTIONS RELATED TO ITEM 020**

### **5. What is succession planning?**

OPM [defines](#) succession planning as the “process where organizations identify those positions considered to be at the core of the organization—too critical to be left vacant or filled by any but the best qualified persons—and then creating a strategic plan to fill them with experienced and capable employees.” 5 U.S.C. 412. 201 requires the head of each agency, in consultation with OPM, to establish a management succession program.

**6. Why did you exclude records maintained by executives responsible for policy formulation or other high-level actions from this item? How do I schedule these records?**

Records documenting executive-level decisions and actions are often considered permanent records. Therefore, agencies should submit agency-specific schedules for these records.

**QUESTION RELATED TO ITEM 030**

**7. Why do records of Department-level awards require agency-specific schedules?**

Department-level awards are often awarded for distinguished or meritorious service. As such, such awards are high-profile and records documenting them are potentially of great interest to the research community. Since we cannot state that these records are always temporary or always permanent across the entire Federal Government, we cannot include them in the GRS. Each agency must schedule its records for Department-level awards on an agency-specific records schedule.

**QUESTIONS RELATED TO ITEM 040**

**8. Why did you exclude Official Personnel Folders (OPFs) for employees who separated prior to December 31, 1973, from this item? Who is responsible for scheduling these older OPFs?**

GRS 2.2 does not provide disposition authority for pre-1973 Official Personnel Folders (OPFs) because their value has not been decided. NARA has determined that it is the responsibility of OPM to schedule these records, given that OPM is the owner of the records subject to OPM recordkeeping requirements. Agencies may have physical possession (custody) of such records, but they do not schedule them.

**9. Why did you change the retention period for long-term records (item 040) to “when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner” from “65 years after separation from Federal service” (old GRS 1, item 1b)?**

OPM relies on long-term Official Personnel Folders (OPFs) as a supplemental source of documentation when making decisions about retirement benefits, death benefits, and survivor benefits payable to annuitants and beneficiaries. The 129-year retention comes from 5 U.S.C. 8466, which allows an employee to seek benefits based on Federal service through 115 years old, or a beneficiary to seek benefits up to 30 years from the event which entitled them to the

benefits (death of the employee). If we assume a person could not be an employee at younger than 16 years old, and may seek their benefits until they are 115 years old, then the person's OPF records could be up to 99 years old. It is possible for a beneficiary to seek benefits for an additional 30 years under the statute. Thus, the 129-year disposition.

#### **QUESTIONS RELATED TO ITEMS 040 AND 041**

##### **10. Why do items 040 and 041 still refer to hardcopy Official Personnel Folders (OPFs)? Hasn't the entire Government adopted the eOPF system as of 2014?**

No, some agencies continue to maintain OPFs in hardcopy and have not migrated to eOPF. As a result, we left the reference to hardcopies in these items.

##### **11. Why do you exclude agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, from Items 040 and 041?**

We excluded agencies not subject to OPM recordkeeping requirements from using this schedule for three important reasons. First, this GRS conforms to OPM recordkeeping requirements, and OPM has the authority to establish requirements only on those records created under its oversight. Second, while it is tempting to assign the same legal minimum retention period to all other personnel folders as well, this is best determined, when possible, by each agency for itself. Agencies not subject to OPM recordkeeping requirements either operate their own employment systems or participate in another agency's employment system. Employees under these different systems may be paid under a different pay plan, have different rights to appeal and file grievances, or accrue time towards retirement differently from employees under OPM's employment system. Third, we established a legal minimum retention period of 129 years for the OPFs covered under item 040. We would not want to impose such a long retention on other agency personnel folders when we know their retirement systems are different and they may not need the records as long.

#### **QUESTION RELATED TO ITEM 050**

##### **12. What is Standard Form 50?**

Notification of Personnel Action (Standard Form 50), scheduled by item 050, notifies the employee and the payroll office of a change in status, such as reassignment or pay increase, and records that action in the employee's Official Personnel Folder.

#### **QUESTION RELATED TO ITEM 060**

##### **14. What is an Employment Eligibility Verification form I-9? What is E-Verify and how does it relate to the I-9?**

Agency personnel offices use form I-9 to verify the identity and employment authorization of

new hires and to re-verify the status of employees who transfer between agencies. E-Verify is a web-based system managed by the U.S. Department of Homeland Security (DHS). Agencies use the system to compare information from an employee's form I-9 to system data, which enables the employer to confirm or "verify" employment eligibility.

#### **QUESTION RELATED TO ITEM 070**

##### **15. Why does the GRS not cover performance records of Presidential appointees? How do I schedule these records?**

Presidential appointees are often high-profile and a subject of great interest to the research community. Since we cannot state that records documenting their service are always temporary or always permanent across the entire Federal Government, we cannot include them in the GRS. Each agency must schedule its records on Presidential appointments on an agency-specific records schedule.

#### **QUESTIONS RELATED TO ITEMS 090, 091 and 092**

##### **16. What are official passports?**

Official passports, also known as special issuance passport books, are issued to people who travel outside the United States on Government business. A holder of an official passport may also have a personal passport for use when traveling outside the United States for personal business or pleasure; personal passports are not Federal records and are not scheduled by the GRS.

##### **17. Why do you exclude records held at the Department of State from these items?**

The Department of State maintains agency and dependent requests for passports as part of its mission-specific function. As a result, this GRS does not cover them. State covers its mission records under an agency-specific schedule.

#### **QUESTION RELATED TO ITEM 092**

##### **18. Why did you include a filing instruction for official passports of transferred or separated agency personnel?**

Some agencies have scheduled these records, so this instruction provides clarity about steps any agency should take when the passports are no longer needed.

#### **QUESTION RELATED TO ITEM 110**

##### **19. Why did you exclude service records for certain volunteers from this item? Does the GRS cover these individuals?**

The volunteers whose records are excluded from this item ultimately have Official Personnel Folders (OPFs). Once those OPFs are created, records that otherwise would be covered by item 110 are incorporated into the OPFs, which are scheduled by items 040 and 041.