

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.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|-------------------------------|
| 010 | <p>Employee management administrative records. Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> • reports, including annual reports to the Department of State concerning the number of official passports issued and related matters • reports from subordinate units regarding statistics and other reporting measures • general correspondence with internal agency offices and with OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders <p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p> | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0001</p> |
| 020 | <p>Workforce and succession planning records. Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p> | <p>Temporary. Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0002</p> |

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|------|--|---|--|-------------------------------|
| 030 | <p>Employee incentive award records. 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>Exclusion: Records of Department-level awards require agency-specific schedules.</p> | <p>Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0003</p> | |
| 040 | <p>Official Personnel Folder (OPF)/electronic OPF (eOPF). The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual's employment history.</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> | <p>Long-term records. Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.</p> <p>Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.</p> | <p>Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0004</p> |
| 041 | <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p>Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.</p> | <p>Short-term records. Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p>Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.</p> | <p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p> | <p>DAA-GRS-2017-0007-0005</p> |

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| 050 | <p>Notifications of personnel actions. Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices.</p> <p>Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p> | | <p>Temporary. Destroy when business use ceases.</p> | <p>DAA-GRS-2017-0007-0006</p> |
| 060 | <p>Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.</p> | | <p>Temporary. Destroy 3 years after employee separates from service or transfers to another agency.</p> | <p>DAA-GRS-2017-0007-0007</p> |
| 070 | <p>Employee performance file system records. Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.</p> <p>Exclusion: Performance records</p> | <p>Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p> | <p>Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0008</p> |
| 071 | <p>Exclusion: Performance records</p> | <p>Unacceptable performance appraisals of non-senior executive service employees. Appraisals of unacceptable performance for non-senior executive service employees (as defined in 5 U.S.C. 4301(2)), where a notice of proposed demotion or removal is issued but not effected, and all related documents.</p> <p>Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p> | <p>Temporary. Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition instruction is mandatory; deviations are not allowed.</p> | <p>DAA-GRS-2017-0007-0009</p> |

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|------|---|---|--|-------------------------------|
| 072 | <p>of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</p> | <p>Records of senior executive service employees. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p> | <p>Temporary. Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p> | <p>DAA-GRS-2017-0007-0010</p> |
| 073 | | <p>Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Superseded performance records of both non-senior executive service employees and senior executive service employees.</p> <p>Legal citation: 5 CFR Part 293.404</p> | <p>Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p> | <p>DAA-GRS-2017-0007-0011</p> |
| 080 | <p>Supervisors' personnel files. Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on 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.</p> <p>Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.</p> <p>Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.</p> | | <p>Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p> | <p>DAA-GRS-2017-0007-0012</p> |

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|------|---|---|--|--|------------------------|
| 090 | <p>Records related to official passports. 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>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p> | | <p>Application records. Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations | <p>Temporary. Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.</p> | DAA-GRS-2017-0007-0013 |
| 091 | <p>Official passport registers. Registers and lists of agency personnel who have official passports.</p> | | <p>Temporary. Destroy when superseded or obsolete.</p> | DAA-GRS-2017-0007-0014 | |
| 092 | <p>Official passports of transferred or separated agency personnel.</p> | | <p>Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.</p> | None; filing instruction only. | |
| 100 | <p>Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including:</p> <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities | | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> | DAA-GRS-2017-0007-0015 | |
| 110 | <p>Volunteer service case files. Records documenting service performed without compensation by people not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students. Records include:</p> <ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms | <p>Case files on volunteers.</p> <p>Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.</p> | <p>Temporary. Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.</p> | DAA-GRS-2017-0007-0016 | |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|---|
| 111 | <ul style="list-style-type: none"> • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked | <p>Case files on individuals whose applications were rejected or withdrawn.</p> | <p>Temporary. Destroy when 1 year old.</p> <p>DAA-GRS-2017-0007-0017</p> |
| 120 | <p>Skill set records. Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.</p> <p>Exclusion: Associated testing records. Those related to non-mission functions are covered by GRS 2.6, Employee Training Records. Those related to agency mission functions must be scheduled by the agency.</p> | <p>Temporary. Destroy when business use ceases.</p> | <p>DAA-GRS-2017-0007-0018</p> |