

DAA-GRS-2017-00xx

Employee Management Records
(GRS 2.2)

This file contains three documents. The Draft Schedule is 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 Crosswalk provides additional help in schedule implementation.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
October 3, 2016

GENERAL RECORDS SCHEDULE 2.2: Employee Management Records

Draft for Review Package: September 9, 2016

This schedule covers records created by Federal agencies in carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.

Records created in the process of hiring employees for Federal civilian service and records documenting the classification and description of jobs/positions are addressed in GRS 2.1: Employee Acquisition Records. GRS 2.5: Employee Separation Records covers records created in the process of employees leaving Federal service.

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|---|------------------------|
| 010 | <p>Employee management administrative records. Records relating to routine office program support, administration, and operations relating to human resources. 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 OPM • general correspondence with travelers regarding official passport application procedures and documentation requirements • statistics, including lists of official passport holders <p>Exclusion: Copies of the annual reports on official passports held by the Department of State.</p> <p>Supersedes: GRS 1, item 3 (N1-GRS-81-10, item 1) <i>3 years</i> GRS 1, item 16 (NC1-64-77-10, item 16) <i>2 years</i> GRS 1, item 17c (NC1-64-77-10, item 17c) <i>6 months</i> GRS 9, item 5b (N1-GRS-91-1, item 5b) <i>1 year</i> GRS 9, item 5c (N1-GRS-98-2, item 9) <i>Superseded or obsolete</i></p> | <p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> | DAA-GRS-2017-00xx-0001 |
| 020 | <p>Workforce and succession planning records. Records pertaining to workforce planning and analysis, including succession planning, developed by human resources offices in support of executive-level and other agency planning initiatives. Includes:</p> | <p>Temporary. Destroy 3 years after issuance of a new strategic plan, but longer</p> | DAA-GRS-2017-00xx-0002 |

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|--|---|------------------------|
| | <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • decision papers • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained at agency executive and other levels primarily responsible for policy formulation or other high-level actions.</p> | retention is authorized if required for business use. | | |
| 030 | <p>Incentive award records. Agency awards case files including recommendations, approved nominations, correspondence, and reports pertaining to 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 pertaining to awards from other Federal agencies or non-Federal organizations and to former employees.</p> <p>Exclusion: Case files documenting awards at the department-level.</p> <p>Supersedes: GRS 1, item 12a1 (NC1-64-77-10, item 12a1) <i>2 years after approval or disapproval</i> GRS 1, item 12a2 (NC1-64-77-10, item 12a2) <i>2 years</i> GRS 1, item 12b (NC1-64-77-10, item 12b) <i>1 year</i> GRS 1, item 12c (NC1-64-77-10, item 12c) <i>2 years</i> GRS 1, item 12d (NC1-64-77-10, item 12d) <i>Superseded or obsolete</i></p> | Temporary. Destroy when 2 years old or 2 years after approval or disapproval, whichever is later, but longer retention is authorized if required for business use. | DAA-GRS-2017-00xx-0003 | |
| 040 | <p>Official Personnel Folders (OPFs)/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.</p> | <p>Long-term records. Records of separated employees saved to the “Permanent” folder in eOPF or filed on the right side of the hardcopy OPF.</p> <p>Excludes: OPFs for employees separated prior to December 31, 1973.</p> | Temporary. Destroy when survivor or retirement claims are adjudicated or when 129 years old, whichever is sooner, but longer retention is authorized if required for business use. | DAA-GRS-2017-00xx-0004 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|---|---|
| 041 | <p>Code should apply their own agency-specific schedule.</p> <p>Note(s): (1) For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>(2) Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) e-OPF Database are covered by GRS 4.3. Use GRS 4.3, item 011 for OPFs of employees separated prior to December 31, 1973. Use GRS 4.3, item 010 for OPFs of employees separated after January 1, 1974.</p> | <p>Supersedes: GRS 1, item 1b (N1-GRS-87-12, item 1b2) <i>65 years</i></p> <p>Short-term records. Records of separated employees saved to the “Temporary” folder in 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 for I-9 Forms and items 070, 071, and 072 of this schedule for disposition of temporary performance-related records.</p> <p>Supersedes: GRS 1, item 10a (N1-GRS-97-4, item 10a) <i>Superseded or obsolete, or upon separation or transfer of employee</i></p> | <p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee.</p> <p>DAA-GRS-2017-00xx-0005</p> |
| 050 | <p>Notifications of personnel actions. Copies of Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence and forms relating to pending personnel actions maintained by agency Human Resources offices.</p> <p>Exclusion: SF-50s filed in the Official Personnel Folder.</p> <p>Supersedes: GRS 1, item 14a (NC1-64-77-10, item 14a) <i>2 years</i> GRS 1, item 14b (NC1-64-77-10, item 14b) <i>1 year</i> GRS 1, item 17a (NC1-64-77-10, item 17a) <i>When action is completed</i></p> | <p>Temporary. Destroy when business use ceases.</p> | <p>DAA-GRS-2017-00xx-0006</p> |
| 060 | <p>Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.</p> <p>Supersedes: GRS 1, item 10b (N1-GRS-97-4, item 10b) <i>3 years</i></p> | <p>Temporary. Destroy 3 years after employee separates from service or transfers to another agency.</p> | <p>DAA-GRS-2017-00xx-0007</p> |

| Item | Records Description | | Disposition Instruction | Disposition Authority |
|------|--|--|---|------------------------|
| 070 | <p>Employee Performance File System Records. Employee performance records are comprised of 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(s):</p> <p>(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered under item 073.</p> <p>(2) Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.</p> | <p>Records of Non-Senior Executive Service appointees. These are performance records for appointees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Unacceptable performance appraisals, see item 071.</p> <p>Legal Citation: 5 CFR Part 293.404</p> <p>Supersedes: GRS 1, item 23a3a (N1-GRS-95-3, item 23a3a) <i>Forward to gaining agency or 4 years</i> GRS 1, item 23a3b (N1-GRS-98-2, item 2) <i>4 years</i> GRS 1, item 23a4 (N1-GRS-95-3, item 23a4) <i>4 years</i> GRS 1, item 23a5 (N1-GRS-98-2, item 3) <i>4 years</i></p> | <p>Temporary. Destroy 4 years after date of appraisal. This disposition instruction is mandatory; deviations are not allowed.</p> | DAA-GRS-2017-00xx-0008 |
| 071 | | <p>Unacceptable performance appraisals of Non-Senior Executive Service appointees. Appraisals of unacceptable performance for Non-Senior Executive Service (SES) appointees (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 Citation: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p> <p>Supersedes: GRS 1, item 23a1 (N1-GRS-93-3, item 23a1) <i>1 year</i></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> | DAA-GRS-2017-00xx-0009 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|--|--|-------------------------------|
| 072 | <p>Records of Senior Executive Service appointees. These are performance records for appointees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.</p> <p>Exclusion: Performance records of an employee in the Senior Executive Service who accepts a Presidential appointment under 5 U.S.C. 3392(c) are not covered by the GRS.</p> <p>Legal Citation: 5 CFR Part 293.404</p> <p>Supersedes: GRS 1, item 9 (NC1-64-77-1, item 9) <i>1 year after case is closed</i> GRS 1, item 23b2a (N1-GRS-88-3, item 23b2a) <i>Forward to gaining agency or 5 years</i> GRS 1, item 23b2b (N1-GRS-98-2, item 4) <i>5 years</i> GRS 1, item 23b3 (N1-GRS-82-2, item 23b3) <i>5 years</i> GRS 1, item 23b4 (N1-GRS-98-2, item 5) <i>5 years</i></p> | <p>Temporary. Destroy 5 years after date of appraisal. This disposition instruction is mandatory; deviations are not allowed.</p> | <p>DAA-GRS-2017-00xx-0010</p> |
| 073 | <p>Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</p> <p>These are superseded performance records of both Non-Senior Executive Service appointees and Senior Executive Service appointees.</p> | <p>Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p> | <p>DAA-GRS-2017-00xx-0011</p> |

| Item | Records Description | | Disposition Instruction | Disposition Authority |
|------|---|--|--|------------------------|
| | <p>Legal Citation: 5 CFR Part 293.404</p> <p>Supersedes: GRS 1, item 23a2 (N1-GRS-93-3, item 23a2) <i>When superseded</i> GRS 1, item 23b1 (N1-GRS-82-2, item 23b1) <i>When superseded</i></p> | | | |
| 080 | <p>Supervisors' personnel files. Records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees 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 or a performance based reduction in grade and removal action, adverse action, or when they become part of an appeal or discrimination complaint file. (2) Employee medical documents</p> <p>Supersedes: GRS 1, item 18a (NC1-64-77-10, item 18a) <i>Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer</i> GRS 1, item 18b (NC1-64-77-10, item 18b) <i>6 months</i></p> | | <p>Temporary. Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.</p> | DAA-GRS-2017-00xx-0012 |
| 090 | <p>Records related to official passports. The Department of State issues official passports to persons traveling abroad to carry out official duties on behalf of the U.S. government.</p> | <p>Application records. Records related to administering the application or renewal of official passports and visas. Includes:</p> <ul style="list-style-type: none"> • copies of passport and visa applications, including: <ul style="list-style-type: none"> ○ passport and visa requests ○ special invitation letters | <p>Temporary. Destroy when 3 years old or upon separation of the bearer, whichever is sooner.</p> | DAA-GRS-2017-00xx-0013 |

| Item | Records Description | Disposition Instruction | Disposition Authority |
|------|---|--|--|
| | | <ul style="list-style-type: none"> ○ visa authorization numbers ○ courier receipts ○ copies of travel authorizations <p>Supersedes: GRS 9, item 5a (N1-GRS-91-1, item 5a) <i>3 years old or upon separation of the bearer, whichever is sooner</i> GRS 21, item 2 in part (N1-GRS-98-2, item 33 – in part) <i>5 years old or when superseded or obsolete, whichever is later</i></p> | |
| 091 | | <p>Official passport registers. Registers and lists of agency personnel who have official passports.</p> <p>Supersedes: GRS 9, item 5c (N1-GRS-98-2, item 9) <i>Superseded or obsolete</i></p> | <p>Temporary. Destroy when superseded or obsolete.</p> <p>DAA-GRS-2017-00xx-0014</p> |
| 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> |
| 100 | <p>Volunteer service program 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> | <p>DAA-GRS-2017-00xx-0015</p> |
| 110 | <p>Volunteer service case files. Records documenting service performed without compensation by persons not under a Federal appointment. Includes both students as defined in 5 U.S.C. 3111 and non-students.</p> | <p>Case files on volunteers.</p> | <p>Temporary. Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.</p> <p>DAA-GRS-2017-00xx-0016</p> |

| Item | Records Description | Disposition Instruction | Disposition Authority | |
|------|--|--|---|-------------------------------|
| 111 | <p>Records include:</p> <ul style="list-style-type: none"> • volunteer agreements documenting position title office title and duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked <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.</p> | <p>Case files on individuals whose applications were rejected or withdrawn.</p> | <p>Temporary. Destroy when 1 year old.</p> | <p>DAA-GRS-2017-00xx-0017</p> |
| 120 | <p>Skill set records.</p> <p>Records detailing name, contact, and other information for persons 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 are covered by GRS 2.3, Employee Training Records.</p> | <p>Temporary. Destroy when business use ceases.</p> | <p>DAA-GRS-2017-00xx-0018</p> | |



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Date: September 9, 2016
Appraiser: Laura Adams McHale, ACRA **DRAFT**
Agency: General Records Schedules (GRS)
Subject: GRS 2.2 Employee Management Records-pending

INTRODUCTION

Schedule Overview

Employee Management Records

Additional Background Information

This schedule provides disposition authority for records created by Federal agencies in carrying out the work of employee management: processing personnel actions, creating and maintaining personnel files, managing employee performance, and supervising employees. It addresses records of Federal civilian employment, as well as volunteer service. Most items in this schedule came from GRS 1: Civilian Personnel Records.

We added 6 new items to this schedule:

Schedule item no. 020, Workforce and succession planning records

Schedule item no. 092, Records related to official passports- Passports

Schedule item no. 100, Volunteer service program records

Schedule item no. 110, Volunteer service case files- Case files on volunteers

Schedule item no. 111, Volunteer service case files- Case files on individuals whose applications were rejected or withdrawn

Schedule item no. 120, Skill set records

NARA developed this schedule with assistance from the Office of Personnel Management, U.S. Department of Homeland Security, U.S. Department of State, National Archives and Records Administration, the U.S. Government Accountability Office, U.S. Department of Justice, National Labor Relations Board, and the Defense Commissary Agency.

GRS items completely removed from this schedule:

- GRS 1, item 1a: Official Personnel Folders. Transferred Employees. This item is rescinded because it is a handling instruction and never had an associated NARA disposition authority. We have replaced this non-item with a note which appears in the overview to new items 040 and 041.

- GRS 1, item 2a: N1-GRS-78-2, item 1-Service Record Cards. Cards for employees separated or transferred on or before December 31, 1947. The Service Record Card (SF 7) became obsolete effective December 31, 1994.
- GRS 1, item 2b: NC1-64-77-10, item 2b-Service Record Cards. Cards for employees separated or transferred on or after January 1, 1948. The Service Record Card (SF 7) became obsolete effective December 31, 1994.
- GRS 1, item 6: NC1-64-77-10, item 6-Employee Record Cards. This item covered SF 7b cards kept outside of personnel offices by operating officials as a source item of data for initiating requests for personnel actions, planning and scheduling employee training, proposing commendations or disciplinary actions, and for carrying out their personnel management responsibilities in general. The Employee Record Card (SF 7b) system became obsolete effective August 1, 1993.
- GRS 1, item 13 (NC1-64-77-10, item 13)-Incentive Awards Program Reports. This item covered agency reports to the Office of Personnel Management (OPM). OPM now uses awards data extracted from the Enterprise Human Resources Integration-Statistical Data Mart to report Governmentwide data on cash and time-off awards. OPM no longer requires agencies to submit OPM Form 1465. (according to OPM's website viewed on August 10, 2015, <http://www.opm.gov/FAQs/QA.aspx?fid=c0d35c56-3950-4013-9e75-a867bf94b5a3&pid=12bf1728-0c22-4e5f-a002-1b31f27f156f>) Since OPM no longer requires this reporting by agencies, we rescinded the item.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 0001 (GRS 2.2, item 010): Employee management administrative records.

This item provides disposition authority for routine administrative records created and maintained by agency human resources offices.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 3 (N1-GRS-81-10, item 1) *3 years*

GRS 1, item 16 (NC1-64-77-10, item 16) *2 years*

GRS 1, item 17c (NC1-64-77-10, item 17c) *Destroy when 6 months old*

GRS 9, item 5b (N1-GRS-91-1, item 5b) *1 year*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This item aggregates 5 old GRS items and establishes a unified, minimum 3 year retention period for routine, day-to-day operational records related to the human resources function. The retention period is unchanged for GRS 1, item 3 which covered general personnel correspondence already scheduled for 3 years. The following three administrative items for

correspondence files and reports are being kept longer under this new authority: GRS 1, item 16 (by 1 year), GRS 1, item 17c (by 2 years, 6 months), and GRS 9, item 5b (by 2 years). The increase in retention is in order because records are comparable to routine correspondence which are retained for a minimum of 3 years to ensure adequate and proper documentation of the policies and transactions of the federal government. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0002 (GRS 2.2, item 020): Workforce and succession planning records.

Records covered under this item relate to human resource's role in workforce planning and analysis to provide information regarding the workforce across mission critical occupations, including demographic characteristics, retirement eligibility, turnover, and various workforce management issues (i.e., recruitment and retention). This information is then used by executives to understand the workforce and identify trends impacting the workforce and informs workforce and succession planning by providing a basis for action to address demographic and employment trends that may impact future mission capabilities.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

*Does not document significant actions of Federal officials. Records of agency executive and staff planning levels, including those primarily responsible for policy formulation or other high-level actions, will be captured in other records.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records are maintained for 3 years in order to support strategic planning initiatives governed by the GPRA Modernization Act 2010, OMB Circular No. A-11, Section 230-1 (2015) which aligns strategic planning with the beginning of each new term of an Administration and requires every Federal agency to produce a new Strategic Plan by the first Monday in February following the year in which the term of the President commences. Agencies may keep these records longer, if they have a business need to do so.

Media Neutrality: Approved

Item 0003 (GRS 2.2, item 030): Incentive award records.

Records covered under this item are case files pertaining to agency-sponsored cash and noncash awards such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards. This item also includes correspondence pertaining to awards from other Federal agencies or non-Federal organizations and to former employees and lists of award recipients.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, 12a1 (NC1-64-77-10, item 12a1) *2 years after approval or disapproval*

GRS 1, item 12a2 (NC1-64-77-10, item 12a2) *2 years*

GRS 1, item 12b (NC1-64-77-10, item 12b) *1 year*

GRS 1, item 12c (NC1-64-77-10, item 12c) *2 years*

GRS 1, item 12d (NC1-64-77-10, item 12d) *Superseded or obsolete*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Three old GRS items (GRS 1, items 12a1, 12a2, and 12c) were already scheduled for 2-year retention. NARA increased the retention of GRS 1, item 12b by 1 year and increased the retention of the awards list recipients from “destroy when superseded or obsolete” to a 2-year retention in order to simplify management by using a single, unified retention period. It also makes commonsense to keep the award recipient lists as long as the records of awards. Records are defined under subchapter I of chapter 43 and subchapter I of chapter 45 of title 5, United States Code. Agencies may keep records longer, if they have a business need to do so.

Media Neutrality: Approved

Item 0004 (GRS 2.2, item 040): Official Personnel Folders (OPFs)/eOPF- Long-term records.

Item 0005 (GRS 2.2, item 041): Official Personnel Folders (OPFs)/eOPF- Short-term records.

Civilian Official Personnel Folders (Standard Form 66 or OPFs) provide documentation of employment service for Federal employees. OPFs contain applications (a variety of different application forms as well as resumes), position descriptions, beneficiary forms for health or life insurance policies obtained through the Government, Standard Form 50s, which track changes in job and salary, and separation documents. Some will include documentation required for clearances, such as the Standard Form 85, Questionnaire for Non-Sensitive Positions.

Prior to employee separation, OPFs are composed of long-term and short-term personnel documents which, in the hardcopy world, were kept on right and left sides of the physical folder. Contemporary OPFs are maintained electronically by agencies via OPM’s electronic (eOPF) System. In 2008, OPM requested a legal opinion from the Department of Justice regarding the legal admissibility of electronic OPFs.¹ Starting in 2009, agencies gradually transitioned to the eOPF system to meet the Office of Management and Budget’s mandate that all Executive Branch agencies eliminate paper OPFs by December 2013.

As custodians of the records on OPM’s behalf, agencies file documents into eOPF following OPM’s guidelines. While agencies have discretion in filing records in the temporary portion of eOPF, it is not a recordkeeping solution for records which require retention after an employee’s separation. This is because the agency, after completing a transfer of an electronic personnel folder, must disable its access to the electronic version of the personnel folder to comply with the requirements of regulations implementing the Privacy Act at 5 CFR 297.40.

¹Memorandum For Kerry B. McTigue, General Counsel, Office of Personnel Management, *Re: Admissibility of Electronic Copies of Personnel Records in Federal Litigation* from John P. Elwood, Deputy Assistant Attorney General, Office of Legal Counsel, US Department of Justice (May 30, 2008). This memorandum states OPM’s proposal for legacy scanned paper OPF documents, “Under this initiative, OPM proposes to scan paper records into digital electronic format. It will retain the paper originals for one year, during which time OPM will verify that the electronic versions are accurate reproductions. After one year, OPM will destroy the paper originals.”

Over the past two decades, NARA has studied the question of whether OPFs merit permanent retention in the National Archives. Past proposals recommended designating the long-term files accumulated through 1973 as permanent because this was when the Civil Service Commission (CSC), a predecessor organization to OPM, created an electronic database of personnel records. While we are aware of the proposal regarding the earlier OPFs being permanent, this appraisal memorandum does not address nor finalize this proposal since the purpose of the GRS is to provide agencies disposition authority for contemporary, “live” administrative records. As a result, this new GRS item provides disposition authority for OPFs of employees separated after January 1, 1974 and *excludes* the earlier OPFs from this item.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 1, item 1b (N1-GRS-87-12, item 1b2) *65 years*

GRS 1, item 10a (N1-GRS-97-4, item 10a) *Superseded or obsolete*

* Captured elsewhere in permanent records. N1-146-89-00, 1a.1). Central Personnel Data File (CPDF) Current Status Masterfile-Unaltered record copy. The reason 1973 is pivotal is this is when the Civil Service Commission implemented the Central Personnel Data File (CPDF), an electronic extract containing data from SF 50s, including name, birth date, salary, education, and employment information. Currently used for statistical research, this series has potential for genealogical research when no longer subject to privacy restrictions. Because of the gradual streamlining of the documentation in OPFs, along with the improvements in state vital recordkeeping, the CPDF provides a good substitute for more recent, post-1973 individual files. Note: OPM replaced the CPDF with the Enterprise Human Resources Integration (EHRI)-Statistical Data Mart when it went to EHRI in the late 2000s. The public use data files are available in [Record Group 146: Records of the U.S. Civil Service Commission, 1871 - 2001](#) (National Archives Identifier: 566349) and [Record Group 478: Records of the Office of Personnel Management, 1928 - 2002](#) (National Archives Identifier: 566354).

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records retention derives from 5 U.S.C. 8466 which states the cutoff for applying for retirement benefits by a former employee or his/her annuitants is the employee’s 115th birthday. Based on our reading of 5 U.S.C. 8466 and the maximum benefit window, 129 years is the necessary timeframe for records to be available if needed for a valid beneficiary claim. Agencies may keep records longer, if they have a business need to do so.

Media Neutrality: Not approved

Item 0006 (GRS 2.2, item 050): Notifications of personnel actions.

This item covers chronological, “suspense” file, or other copies of pending personnel actions and are not the final documents saved in the Official Personnel Folder kept by human resources offices. The Office of Personnel Management (OPM) does not require agencies to maintain chronological files or utility copies. In fact, due to privacy concerns, OPM discourages the retention of copies of personnel actions other than these utility copies kept by agency human resources offices.

Supervisors and managers use the Standard Form 52: Request for Personnel Action to request position actions, such as the establishment of a new position or the reclassification of an

existing position; employee actions, such as the appointment of an employee or the promotion of an employee; and actions involving both a position and an employee, such as the establishment and filling of a position, or the reclassification of a position and reassignment of an employee to the reclassified position.

Employees use the SF 52 form to notify the agency of their resignation or retirement, to request Leave Without Pay (LWOP) and to request a name change.

The personnel office uses the SF 52 form to record staffing, classification, and other personnel determinations, and then uses the information on the form to prepare the SF-50 Notification of Personnel Action. (Chapter 1, *The Guide to Processing Personnel Actions*, I-3, Documentation of Personnel Actions).

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 14a (NC1-64-77-10, item 14a) *2 years*

GRS 1, item 14b (NC1-64-77-10, item 14b) *1 year*

GRS 1, item 17a (NC1-64-77-10, item 17a) *Destroy when action is completed*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. NARA aggregated several short term items specific to processing personnel actions ranging from “when action is completed” (GRS 1, item 17a) to “destroy when 1 year old” (GRS 1, item 14b) to “destroy when 2 years old” (GRS 1, item 14a) to destroy when business use ceases. This aggregation should not prove burdensome as most actions are submitted electronically. With the advent of electronic personnel processing systems, this item may eventually be rescinded as unnecessary because authorized staff will be able to look-up required information in the associated system instead of maintaining hardcopy case files or tracking systems. Records are comparable to GRS 23, item 6a: Suspense Files. However, due to their sensitive nature, we elected to maintain this as a separate GRS item.

Finally, this series has an additional, potential business use since agencies may decide to keep these documents for 2 years after an employee’s resignation in case the former employee files for unemployment compensation. Keeping the records for this purpose is not required by OPM and is a decision made by individual agencies.

Media Neutrality: Approved

Item 0007 (GRS 2.2, item 060): Employment eligibility verification records.

Employers, including the Federal Government, are required to maintain Form I-9 (U.S. Citizenship and Immigration Services (CIS), Form I-9, expires 03/31/2016) and associated documentation for as long as an individual works for the employer and for the required retention period after the termination of an individual’s employment. Records are maintained as separate series from long-term Official Personnel Folders due to a requirement to provide access to US CIS within 3 days of notification of site inspection (<http://www.uscis.gov/i-9-central/retain-store-form-i-9/storing-form-i-9> as viewed on 8/10/2015).

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 10b (N1-GRS-97-4, item 10b) *3 years*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. 8 U.S.C. 1324a(3) provides the retention period of 3 years for this item.

Media Neutrality: Approved

Item 0008 (GRS 2.2, item 070): Employee Performance File System Records-Non-Senior Executive Service appointees.

Records covered by this item are the performance files as described by United States Code Title 5, Chapter I, Subchapter B §293.403, Contents of employee performance files.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 1, item 23a2 (N1-GRS-93-3, item 23a2) *Superseded*

GRS 1, item 23a3a (N1-GRS-95-3, item 23a3a) *Forward to gaining agency or 4 years*

GRS 1, item 23a3b (N1-GRS-98-2, item 2) *4 years*

GRS 1, item 23a4 (N1-GRS-95-3, item 23a4) *4 years*

GRS 1, item 23a5 (N1-GRS-98-2, item 3) *4 years*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Retention is governed by United States Code Title 5 §293.404(a)(1)(i). Longer retention is not authorized.

Media Neutrality: Approved

Item 0009 (GRS 2.2, item 071): Employee Performance File System Records-Unacceptable performance appraisals.

Records covered by this item are the unacceptable performance files as described by United States Code Title 5, Chapter I, Subchapter B §293.404 (a)(3). Records apply to non-Senior Executive Service employees.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 23a1 (N1-GRS-93-3, item 23a1) *1 year*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Retention is governed by United States Code Title 5, Chapter I, Subchapter B

§293.404 (a)(3). Longer retention is not authorized. OPM's regulation states that "Under conditions specified by an agency, an earlier destruction date is permitted and destruction must be no later than 30 days after the year is up."

Media Neutrality: Approved

Item 0010 (GRS 2.2, item 072): Employee Performance File System Records -Senior Executive Service appointees.

Records covered by this item are the performance files as described by United States Code Title 5, Chapter I, Subchapter B §293.403, Contents of employee performance files.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 1, item 9 (NC1-64-77-1, item 9) *1 year after case is closed*

GRS 1, item 23b1 (N1-GRS-82-2, item 23b1) *Superseded*

GRS 1, item 23b2a (N1-GRS-88-3, item 23b2a) *Forward to gaining agency or 5 years*

GRS 1, item 23b2b (N1-GRS-98-2, item 4) *5 years*

GRS 1, item 23b3 (N1-GRS-82-2, item 23b3) *5 years*

GRS 1, item 23b4 (N1-GRS-98-2, item 5) *5 years*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Retention is governed by United States Code Title 5 §293.404 (b)(1). Longer retention is not authorized.

Media Neutrality: Approved

Item 0011 (GRS 2.2, item 073): Employee Performance File System Records - Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Records covered by this item are the performance files as described by United States Code Title 5, Chapter I, Subchapter B §293.403, Contents of employee performance files. Records apply to non-Senior Executive Service employees and Senior Executive Service employees.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Previously approved as temporary.

GRS 1, item 23a2 (N1-GRS-93-3, item 23a2) *When superseded*

GRS 1, item 23b1 (N1-GRS-82-2, item 23b1) *When superseded*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Retention is governed by United States Code Title 5 §293.404. Longer retention is not authorized.

Media Neutrality: Approved

Item 0012 (GRS 2.2, item 080): Supervisors' personnel files.

Records covered by this item consist of supervisor's personnel files, including duplicate Official Personnel Folder documentation pertaining to employees.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 18a (NC1-64-77-10, item 18a) *Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer*

GRS 1, item 18b (NC1-64-77-10, item 18b) *6 months*

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. NARA has aggregated two related items, one for supervisors' files, and a second for duplicate documentation with "destroy when 6 months old" retention, to reduce the number of authorities needed for similar records. Supervisors may destroy duplicates when necessary. Records are retained for the dual purpose of performance management and work assignment. Supervisors' retain personnel files for as long as an employee is on staff. The 1-year annual review requirement is to ascertain no files are kept contrary to personnel recordkeeping requirements, such as the unacceptable performance files described by United States Code Title 5, Chapter I, Subchapter B §293.404 (a)(3).

Media Neutrality: Approved

Item 0013 (GRS 2.2, item 090): Records related to official passports-Application records.

Item 0014 (GRS 2.2, item 091): Records related to official passports-Official passport registers.

Item 0015 (GRS 2.2, item 092: No DAA number): Records related to official passports-Official passports of transferred or separated agency personnel.

These items cover official passports and agency applications for agency personnel, including contractors, submitted to the US Department of State which is responsible for processing passport applications submitted by official U.S. government travelers and their dependents. Item 020 is for the application records and associated visa requests. Item 092 is a new item which addresses agency handling of the official passports since they are considered accountable items.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 9, item 5a (N1-GRS-91-1, item 5a) *3 years old or upon separation of the bearer, whichever is sooner*

GRS 9, item 5c (N1-GRS-98-2, item 9) *Superseded or obsolete*

GRS 21, item 2 in part (N1-GRS-98-2, item 33 – in part) *5 years old or when superseded or obsolete, whichever is later*

*Similar records have been approved as temporary. Agency and dependent requests for passports are maintained for 25 years by the US Department of State, Bureau of Consular Affairs (CA), Passport Services (PPT), Special Issuance Agency (SIA) under N1-059-05-011, item 2, Requests for Passports. These are copies of the passport applications retained by CA/PPT/SIA for continuing use. The official record copies are sent to, maintained by, and retired by CA/PPT and are covered by the schedule covering the other records created and maintained by CA/PPT.

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Item 090 continues the previous 3-year retention period established by N1-GRS-91-1, item 5a on the basis that records should be retained for at least 3 years to ensure adequate and proper documentation of the actions and transactions of the federal government. Associated application documents may be destroyed earlier should an employee separate from the agency or transfer to a new agency. Item 090 also shortens to 3 years the 5-year retention provided by a predecessor item for Passport Photographs, N1-GRS-98-2, item 33 – in part. The original reason for the 5-year retention period is not documented in the dossier for N1-GRS-98-2; however, the photographs may have been retained until the passport expired at 5 years. Keeping the associated photographs for as long as the associated applications suffices as passport photographs must be taken within 6 months of the application. Agencies may elect to keep application records longer if they have a business need to do so. Passports must be transferred to the gaining agency or returned to the Department of State upon expiration or upon separation of the employee. Since this is a filing instruction, a NARA disposition authority is unnecessary.

Media Neutrality: Approved

Item 0016 (GRS 2.2, item 100): Volunteer service program records.

This item covers operational records related to managing and reporting on an agency's volunteer program. Records are created and maintained by both agency personnel offices and other organizational locations, such as field operations.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. These records should be retained for at least a minimum of 3 years to ensure adequate and proper documentation of the policies and transactions of the federal government. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0017 (GRS 2.2, item 110): Volunteer service case files-Case files on volunteers.

Item 0018 (GRS 2.2, item 111): Volunteer service case files- Case files on individuals whose applications were rejected or withdrawn.

The items cover volunteer service records for individuals volunteering who are not part of an educational program as defined by 5 U.S.C. 3111. Agencies document volunteer service to aid in responding to future requests for service documentation.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Related records have been approved as temporary. N1-64-92-3, Individual Volunteer Files and N1-330-98-1, Individual Volunteer Files. The following schedules are approved for either 3 or 4 years after the volunteer departs: N1-022-02-01, item 1, Volunteer Personnel Files (3 years), N1-310-09-01, item 1, Individual Volunteer Files (4 years) and N1-330-98-1, item 1, Individual Volunteer Files (4 years).

*Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This new item establishes a government-wide retention period of a minimum of 4 years for volunteer service records in order to process and resolve personal injury claims.

Under 5 U.S.C. 3111, a student volunteer is not a Federal employee for any purposes other than injury compensation and law related to the Federal Tort Claims Act, 28 U.S.C. § 1346(b). Service is not creditable for leave or any other employee benefits. A 4 year retention period allows agencies to respond to requests for service documentation from volunteers.

Volunteers are considered “employees” within the purview of the Federal Tort Claims Act (FTCA). Therefore, while they are acting in the scope of their employment, they are afforded the protection of FTCA. This coverage extends only to the period in which they are performing the assignment. For example, a volunteer driver who makes a side trip to the bank or laundry is operating outside the scope of their assignment and is, therefore, not covered under the FTCA for such a side trip.

While acting in the scope of their “employment”, volunteers also are considered “employees” within the purview of the Federal Employees’ Compensation Act (FECA), 5 U.S.C. 8101, et seq. FECA provides for compensation and medical services for the disability or death of an employee resulting from personal injury sustained incident to the employee’s service. The determination that the injury or death was “incident to service” must be made by the Department of Labor (DOL) or, ultimately, by the courts. ⁱ

Media Neutrality: Approved

Item 0019 (GRS 2.2, item 120): Skill set records.

This item provides disposition authority for lists of employee and volunteer skill sets, compiled from a variety of sources, maintained by both agency personnel offices and other organizational locations, such as field operations.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value. Records are administrative in nature. The records covered under this item are associated with non-supervisory, administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records are used to assign work-related duties and are retained until superseded or obsolete.

Media Neutrality: Approved



LAURA ADAMS McHALE
Appraiser

¹ Department of Veteran's Affairs, VHA HANDBOOK 1620.02 dated September 9, 2014 as viewed at http://www.va.gov/vhapublications/ViewPublication.asp?pub_ID=3042 on 9/17/2014.

| New GRS 2.2 | | | | Old GRS | | | |
|-------------|----------|---|--------------------------------------|----------|-------------|---|--------------------------------|
| GRS No. | Item No. | Retention | ERA Number/ Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 2.2 | 010 | 3 years | DAA-GRS-2017-00xx-0001 | 1 | 3 | 3 years | N1-GRS-81-10, item 1 |
| | | | | 1 | 16 | 2 years | NC1-64-77-10, item 16 |
| | | | | 1 | 17c | 6 months | NC1-64-77-10, item 17c |
| | | | | 9 | 5b | 1 year | N1-GRS-91-1, item 5b |
| | | | | 9 | 5c | Superseded or obsolete | N1-GRS-98-2, item 9 |
| 2.2 | 020 | 3 years | DAA-GRS-2017-00xx-0002 | New Item | | | |
| 2.2 | 030 | 2 years | DAA-GRS-2017-00xx-0003 | 1 | 12a1 | 2 years | NC1-64-77-10, item 12a1 |
| | | | | 1 | 12a2 | 2 years | NC1-64-77-10, item 12a2 |
| | | | | 1 | 12b | 1 year | NC1-64-77-10, item 12b |
| | | | | 1 | 12c | 2 years | NC1-64-77-10, item 12c |
| | | | | 1 | 12d | Superseded or obsolete | NC1-64-77-10, item 12d |
| 2.2 | 040 | 129 years | DAA-GRS-2017-00xx-0004 | 1 | 1b | 65 years | N1-GRS-87-12, item 1b2 |
| 2.2 | 041 | Superseded or obsolete, or upon separation | DAA-GRS-2017-00xx-0005 | 1 | 10a | Superseded or obsolete | N1-GRS-97-4, item 10a |
| 2.2 | 050 | When business use ceases | DAA-GRS-2017-00xx-0006 | 1 | 14a | 2 years | NC1-64-77-10, item 14a |
| | | | | 1 | 14b | 1 year | NC1-64-77-10, item 14b |
| | | | | 1 | 17a | When action is completed | NC1-64-77-10, item 17a |
| 2.2 | 060 | 3 years | DAA-GRS-2017-00xx-0007 | 1 | 10b | 3 years | N1-GRS-97-4, item 10b |
| 2.2 | 070 | 4 years | DAA-GRS-2017-00xx-0008 | 1 | 23a3a | Forward to gaining agency or 4 years | N1-GRS-95-3, item 23a3a |
| | | | | 1 | 23a3b | 4 years | N1-GRS-98-2, item 2 |
| | | | | 1 | 23a4 | 4 years | N1-GRS-95-3, item 23a4 |
| | | | | 1 | 23a5 | 4 years | N1-GRS-98-2, item 3 |
| 2.2 | 071 | 1 year | DAA-GRS-2017-00xx-0009 | 1 | 23a1 | 1 year | N1-GRS-93-3, item 23a1 |
| 2.2 | 072 | 5 years | DAA-GRS-2017-00xx-0010 | 1 | 9 | 1 year | NC1-64-77-1, item 9 |
| | | | | 1 | 23b2a | Forward to gaining agency or 5 years | N1-GRS-88-3, item 23b2a |
| | | | | 1 | 23b2b | 5 years | N1-GRS-98-2, item 4 |
| | | | | 1 | 23b3 | 5 years | N1-GRS-82-2, item 23b3 |
| | | | | 1 | 23b4 | 5 years | N1-GRS-98-2, item 5 |
| 2.2 | 073 | Superseded | DAA-GRS-2017-00xx-0011 | 1 | 23a2 | Superseded | N1-GRS-93-3, item 23a2 |
| | | | | 1 | 23b1 | Superseded | N1-GRS-82-2, item 23b1 |
| 2.2 | 080 | Annually or within 1 year after separation or transfer | DAA-GRS-2017-00xx-0012 | 1 | 18a | Annually or within 1 year of separation or transfer | NC1-64-77-10, item 18a |
| | | | | 1 | 18b | 6 months | NC1-64-77-10, item 18b |
| 2.2 | 090 | 3 years or upon separation | DAA-GRS-2017-00xx-0013 | 9 | 5a | 3 years or upon separation | N1-GRS-91-1, item 5a |
| | | | | 21 | 2 (in part) | 5 years or when superseded | N1-GRS-98-2, item 33 (in part) |
| 2.2 | 091 | Superseded or obsolete | DAA-GRS-2017-00xx-0014 | 9 | 5c | Superseded or obsolete | N1-GRS-98-2, item 9 |
| 2.2 | 092 | Transfer to new agency or return to Department of State | N/A. Filing instruction. | New item | | | |
| 2.2 | 100 | 3 years | DAA-GRS-2017-00xx-0015 | New Item | | | |
| 2.2 | 110 | 4 years | DAA-GRS-2017-00xx-0016 | New Item | | | |
| 2.2 | 111 | 1 year | DAA-GRS-2017-00xx-0017 | New Item | | | |
| 2.2 | 120 | When business use ceases | DAA-GRS-2017-00xx-0018 | New Item | | | |