

Request for Records Disposition Authority

Records Schedule Number **DAA-GRS-2014-0004**

Schedule Status **Approved**

Agency or Establishment **General Records Schedules (National Archives and Records Administration)**

Record Group / Scheduling Group **General Records Schedules**

Records Schedule applies to **Government-wide**

Schedule Subject **Employee Separation Records**

Internal agency concurrences will be provided **No**

Background Information **This schedule covers records created in the course of employees leaving Federal service, whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that may be contained in these files. They do not mean to convey that all of these records must be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2014-0004

Sequence Number	
1	Separation program management records.
1.1	Records not specific to an agency separation initiative. Disposition Authority Number: DAA-GRS-2014-0004-0001
1.2	Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. Disposition Authority Number: DAA-GRS-2014-0004-0002
2	Individual employee separation case files. Disposition Authority Number: DAA-GRS-2014-0004-0003
3	Records documenting capture of institutional and specialized knowledge. Disposition Authority Number: DAA-GRS-2014-0004-0004

Records Schedule Items

Sequence Number					
1	<p>Separation program management records. Records documenting the general processes to release career, temporary, and political-appointment employees from employment status. Includes: • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends</p>				
1.1	<p>Records not specific to an agency separation initiative.</p> <p>Disposition Authority Number DAA-GRS-2014-0004-0001</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 2.5, item 010</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-GRS-92-4 item 28 (in part) NC1-64-77-10, item 17b2</p> <p>Disposition Instruction</p> <p>Retention Period Destroy when no longer required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	Manual Citation	Manual Title	GRS 2.5, item 010	
Manual Citation	Manual Title				
GRS 2.5, item 010					
1.2	<p>Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</p> <p>Disposition Authority Number DAA-GRS-2014-0004-0002</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>				

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.5, item 011	

GRS or Superseded Authority Citation **N1-GRS-92-4 item 28 (in part)
NC1-64-77-10 item 17b1**

Disposition Instruction

Retention Period **Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Individual employee separation case files.

Disposition Authority Number **DAA-GRS-2014-0004-0003**

Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes: • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use Exclusion: Records required to be filed in employee's OPF are excluded from this item.

Final Disposition **Temporary**

2

Item Status **Active**
 Is this item media neutral? **Yes**
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**
 Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 2.5, item 020	

GRS or Superseded Authority Citation **NC1-64-77-7 item 21b
N1-GRS-92-4 item 9b**

Disposition Instruction

Retention Period **Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Records documenting capture of institutional and specialized knowledge.

Disposition Authority Number **DAA-GRS-2014-0004-0004**

Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee. Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title

3

GRS 2.5, item 030	
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Disposition Instruction

Retention Period

Destroy when no longer required for business use.

Additional Information

GAO Approval

Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/08/2014	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
12/30/2014	Submit for Concurrence	Galen Wilson	Appraiser	National Archives and Records Administration - Records Management Services
01/08/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/13/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

GENERAL RECORDS SCHEDULE 2.5: Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee's responsibilities.

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Separation program management records. Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records 	<p>Records not specific to an agency separation initiative.</p> <p>Supersedes: GRS 1, item 17b2 (NC1-64-77-10, item 17b2) GRS 2, item 28 (N1-GRS-92-4 item 28)</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2014-0004-0001</p>
011	<ul style="list-style-type: none"> • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends <p>Supersedes: GRS 2, item 28 (N1-GRS-92-4 item 28)</p>	<p>Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</p> <p>Supersedes: GRS 1, item 17b1 (NC1-64-77-10, item 17b1) GRS 2, item 28 (N1-GRS-92-4 item 28)</p>	<p>Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0004-0002</p>
020	<p>Individual employee separation case files. Records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property 	<p>Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0004-0003</p>	

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use <p>Exclusion: Records required to be filed in employee's OPF are excluded from this item.</p> <p>Supersedes: GRS 1, item 39 (NC1-64-77-7 item 21b) GRS 2, item 9b (N1-GRS-92-4 item 9b)</p>		
030	<p>Records documenting capture of institutional and specialized knowledge. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p>	<p>Temporary. Destroy when no longer required for business use.</p>	<p>DAA-GRS-2014-0004-0004</p>
040	<p>Record of employee leave, such as SF 1150, prepared upon transfer or separation.</p> <p>Rescinded: GRS 2, item 9a (N1-GRS-92-4 item 9a) <i>Since this is just a filing instruction, the authority that gave it to us is rescinded rather than superseded. Item does not appear in ERA schedule.</i></p>	<p>File on left (temporary) side of the Official Personnel Folder (OPF).</p>	