

## Request for Records Disposition Authority

Records Schedule Number      **DAA-GRS-2016-0014**

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    **Agency-wide**

Schedule Subject                 **GRS 2.6: Employee Training Records Revised**

Internal agency concurrences will be provided    **No**

**Background Information**

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-GRS-2016-0014

Sequence Number	
1	Non-mission employee training program records. Disposition Authority Number: DAA-GRS-2016-0014-0001
2	Ethics training records. Disposition Authority Number: DAA-GRS-2016-0014-0002
3	Individual employee training records. Disposition Authority Number: DAA-GRS-2016-0014-0003
4	Senior Executive Service Candidate Development Program (SESCDP).
4.1	Program records. Disposition Authority Number: DAA-GRS-2016-0014-0004
4.2	Case records on SESCO DP participants. Disposition Authority Number: DAA-GRS-2016-0014-0005

## Records Schedule Items

Sequence Number					
1	<p><b>Non-mission employee training program records.</b></p> <p>Disposition Authority Number      <b>DAA-GRS-2016-0014-0001</b></p> <p><b>Exclusion:</b> This item does not cover ethics-related training. Ethics training is scheduled by item 020. Records about planning, assessing, managing, and evaluating an agency's training program: # plans, reports and program evaluations # organizational and occupational needs assessments # employee skills assessments # employee training statistics # notices about training opportunities, schedules, or courses # mandatory training tracking and reporting files # logistics and coordination documents # Authorization, Agreement and Certification of Training (SF-182) and similar records # registration forms, employee attendance records # syllabi, presentations, instructor guides, handbooks, and lesson plans # reference and working files on course content # other course materials, such as presentations and videos # student, class, or instructor evaluations Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></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><b>GRS 2.6, item 010</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>DAA-GRS-2015-0005-0001 (in part)</b> <b>DAA-GRS-2015-0005-0003 (in part)</b></p> <p><b>Disposition Instruction</b></p> <p>Retention Period                        <b>Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</b></p>	Manual Citation	Manual Title	<b>GRS 2.6, item 010</b>	
Manual Citation	Manual Title				
<b>GRS 2.6, item 010</b>					

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**Additional Information**

GAO Approval Not Required

Ethics training records.

Disposition Authority Number DAA-GRS-2016-0014-0002

Records include but are not limited to: # administration of new employee ethics orientations. annual, and other types of ethics training # agency's annual written plans # notices about training requirements and course offerings # rosters of employees required to attend and verification of training completed # instructor guides, handbooks, handouts and other materials

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
GRS 2.6, item 020	

GRS or Superseded Authority Citation DAA-GRS-2015-0005-0001 (in part)  
DAA-GRS-2015-0005-0003 (in part)

**Disposition Instruction**

Retention Period Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval Not Required

3

Individual employee training records.

Disposition Authority Number DAA-GRS-2016-0014-0003

Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include: # completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors) # Individual Development Plans (IDPs)

**# mentoring or coaching agreements Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.**

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
GRS 2.6, item 030	

GRS or Superseded Authority Citation **DAA-GRS-2015-0005-0005 (which was never issued via transmittal)**

**Disposition Instruction**

Retention Period **Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.**

**Additional Information**

GAO Approval **Not Required**

**Senior Executive Service Candidate Development Program (SESCDP). SESCO DP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.**

**Program records.**

Disposition Authority Number **DAA-GRS-2016-0014-0004**

**Records documenting program scope, policies, planning, budget, and curriculum planning.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **Yes**

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4.1

electronic format(s) other than e-mail and word processing?

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

Manual Citation	Manual Title
GRS 2.6, item 040	

GRS or Superseded Authority Citation **DAA-GRS-2015-0005-0013**

**Disposition Instruction**

Retention Period **Destroy when no longer needed for business use.**

**Additional Information**

GAO Approval **Not Required**

**Case records on SESCO participants.**

Disposition Authority Number **DAA-GRS-2016-0014-0005**

**Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.**

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
GRS 2.6, item 041	

GRS or Superseded Authority Citation **DAA-GRS-2015-0005-0014**

**Disposition Instruction**

Retention Period **Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation**

4.2

from SESCDP, but longer retention is authorized if 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
08/30/2016	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/26/2016	Submit for Concurrence	Katherene Kim	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/31/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/01/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/03/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist



## GENERAL RECORDS SCHEDULE 2.6: Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p><b>Non-mission employee training program records.</b>  <b>Exclusion:</b> This item does not cover ethics-related training. Ethics training is scheduled by item 020.</p> <p>Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> <li>● plans, reports and program evaluations</li> <li>● organizational and occupational needs assessments</li> <li>● employee skills assessments</li> <li>● employee training statistics</li> <li>● notices about training opportunities, schedules, or courses</li> <li>● mandatory training tracking and reporting files</li> <li>● logistics and coordination documents</li> <li>● Authorization, Agreement and Certification of Training (SF-182) and similar records</li> <li>● registration forms, employee attendance records</li> <li>● syllabi, presentations, instructor guides, handbooks, and lesson plans</li> <li>● reference and working files on course content</li> <li>● other course materials, such as presentations and videos</li> <li>● student, class, or instructor evaluations</li> </ul> <p><b>Note:</b> Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p> <p><b>Supersedes</b> the following items that were never issued via transmittal:  DAA-GRS-2015-0005-0001 (in part)  DAA-GRS-2015-0005-0003 (in part)</p> <p><b>These items previously superseded:</b>  GRS 1, item 29a1 (NC1-64-77-10, item 30b1)  GRS 1, item 29a2 (NC1-64-77-10, item 30b2)</p>	<p><b>Temporary.</b> Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0014-0001</p>

**GRS 2.6: Employee Training Records**

	<p>GRS 1, item 29b (NC1-64-77-10, item 30c) (in part)            GRS 21, item 3 (NC1-GRS-81-9, item I-3)            GRS 21, item 9 (NC1-GRS-81-9, item III-1)            GRS 21, item 14 (NC1-GRS-81-9, item IV-1)            GRS 21, item 17 (NC1-GRS-81-9, item IV-4)</p>		
020	<p><b>Ethics training records.</b>            Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>● administration of new employee ethics orientations, annual, and other types of ethics training</li> <li>● agency's annual written plans</li> <li>● notices about training requirements and course offerings</li> <li>● rosters of employees required to attend and verification of training completed</li> <li>● instructor guides, handbooks, handouts and other materials</li> </ul> <p><b>Supersedes the following items that were never issued via transmittal:</b>            DAA-GRS-2015-0005-0001 (in part)            DAA-GRS-2015-0005-0003 (in part)</p> <p><b>These items previously superseded:</b>            GRS 25, item 8a (N1-GRS-01-1, item 8a)            GRS 25, item 8b (N1-GRS-01-1, item 8b)</p>	<p><b>Temporary.</b> Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0014-0002
030	<p><b>Individual employee training records.</b>            Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> <li>● completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors)</li> <li>● Individual Development Plans (IDPs)</li> <li>● mentoring or coaching agreements</li> </ul> <p><b>Exclusion:</b> Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.</p> <p><b>Supersedes</b>            DAA-GRS-2015-0005-0005, which was never issued via transmittal</p> <p><b>This item previously superseded:</b>            GRS 1, item 29b (NC1-64-77-10, item 30c) (in part)</p>	<p><b>Temporary.</b> Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0014-0003

GRS 2.6: Employee Training Records

040	<p><b>Senior Executive Service Candidate Development Program (SESCDP).</b> SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p>	<p><b>Program records.</b> Records documenting program scope, policies, planning, budget, and curriculum planning.</p> <p><b>Supersedes</b> DAA-GRS-2015-0005-0013, which was never issued via transmittal</p>	<p><b>Temporary.</b> Destroy when no longer needed for business use.</p>	DAA-GRS-2016-0014-0004
041		<p><b>Case records on SESCO DP participants.</b> Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p> <p><b>Supersedes</b> DAA-GRS-2015-0005-0014, which was never issued via transmittal</p>	<p><b>Temporary.</b> Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCO DP, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0014-0005

New GRS				Old GRS			
2.6	010	3 years	DAA-GRS-2016-0014-0001	1	29a1	5 years	NC1-64-77-10, item 30b1
				1	29a2	3 years	NC1-64-77-10, item 30b2
				1	29b	5 years	NC1-64-77-10, item 30c (in part)
				21	3	1 year	NC1-GRS-81-9, item I-3
				21	9	1 year	NC1-GRS-81-9, item III-1
				21	14	1 year	NC1-GRS-81-9, item IV-1
				21	17	1 year	NC1-GRS-81-9, item IV-4
2.6	020	6 years	DAA-GRS-2016-0014-0002	25	8a	6 years	N1-GRS-01-1, item 8a
				25	8b	6 years	N1-GRS-01-1, item 8b
2.6	030	3 years or 1 year	DAA-GRS-2016-0014-0003	1	29b	5 years	NC1-64-77-10, item 30c (in part)
2.6	040	No longer needed	DAA-GRS-2016-0014-0004	New Item			
2.6	041	Upon certification or 1 year	DAA-GRS-2016-0014-0005	New Item			