

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2017-0007
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 General Records Schedule 2.2: Employee Management Records
Internal agency concurrences will be provided No

Background Information 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 Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
18	0	18	0

GAO Approval

Outline of Records Schedule Items for DAA-GRS-2017-0007

Sequence Number	
1	Employee management administrative records. Disposition Authority Number: DAA-GRS-2017-0007-0001
2	Workforce and succession planning records. Disposition Authority Number: DAA-GRS-2017-0007-0002
3	Employee incentive award records. Disposition Authority Number: DAA-GRS-2017-0007-0003
4	Official Personnel Folder (OPF)/electronic OPF (eOPF).
4.1	Long-term records. Disposition Authority Number: DAA-GRS-2017-0007-0004
4.2	Short-term records. Disposition Authority Number: DAA-GRS-2017-0007-0005
5	Notifications of personnel actions. Disposition Authority Number: DAA-GRS-2017-0007-0006
6	Employment eligibility verification records. Disposition Authority Number: DAA-GRS-2017-0007-0007
7	Employee performance file system records.
7.1	Acceptable performance appraisals of non-senior executive service employees. Disposition Authority Number: DAA-GRS-2017-0007-0008
7.2	Unacceptable performance appraisals of non-senior executive service employees. Disposition Authority Number: DAA-GRS-2017-0007-0009
7.3	Records of senior executive service employees. Disposition Authority Number: DAA-GRS-2017-0007-0010
7.4	Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Disposition Authority Number: DAA-GRS-2017-0007-0011
8	Supervisors' personnel files. Disposition Authority Number: DAA-GRS-2017-0007-0012
9	Records related to official passports.
9.1	Application records. Disposition Authority Number: DAA-GRS-2017-0007-0013
9.2	Official passport registers. Disposition Authority Number: DAA-GRS-2017-0007-0014
10	Volunteer service program administrative records. Disposition Authority Number: DAA-GRS-2017-0007-0015

- 11 Volunteer service case files.
- 11.1 Case files on volunteers.
Disposition Authority Number: DAA-GRS-2017-0007-0016
- 11.2 Case files on individuals whose applications were rejected or withdrawn.
Disposition Authority Number: DAA-GRS-2017-0007-0017
- 12 Skill set records.
Disposition Authority Number: DAA-GRS-2017-0007-0018

Records Schedule Items

Sequence Number						
1	Employee management administrative records.					
	Disposition Authority Number	DAA-GRS-2017-0007-0001				
	<p>Records on routine office program support, administration, and human resources operations. Includes: • 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 Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>					
	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				
	<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>GRS 2.2, item 010</td> <td></td> </tr> </tbody> </table>		Manual Citation	Manual Title	GRS 2.2, item 010	
Manual Citation	Manual Title					
GRS 2.2, item 010						
	GRS or Superseded Authority Citation	N1-GRS-81-010 / 1 NC1-064-77-010 / 16 NC1-064-77-010 / 17/C N1-GRS-91-001 / 5/B N1-GRS-98-002 / 9				
	Disposition Instruction					
	Retention Period	Destroy when 3 years old, but longer retention is authorized if required for business use.				
	Additional Information					
	GAO Approval	Not Required				

2

Workforce and succession planning records.

Disposition Authority Number **DAA-GRS-2017-0007-0002**

Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes: • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.

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 2.2, item 020	

Disposition Instruction

Retention Period **Destroy 3 years after issuing each new plan, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

3

Employee incentive award records.

Disposition Authority Number **DAA-GRS-2017-0007-0003**

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. Exclusion: Records of Department-level awards require agency-specific schedules.

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 2.2, item 030	

GRS or Superseded Authority Citation **NC1-064-77-010 / 12/A/1
NC1-064-77-010 / 12/A/2
NC1-064-77-010 / 12/B
NC1-064-77-010 / 12/C
NC1-064-77-010 / 12/D**

Disposition Instruction

Retention Period **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.**

Additional Information

GAO Approval **Not Required**

4

**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. Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule. Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions. Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) e-OPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.**

4.1

Long-term records.

Disposition Authority Number **DAA-GRS-2017-0007-0004**

Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF. Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.

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 2.2, item 040	

GRS or Superseded Authority Citation N1-GRS-87-012 / 1/B/2

Disposition Instruction

Retention Period 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.

Additional Information

GAO Approval Not Required

Short-term records.

Disposition Authority Number DAA-GRS-2017-0007-0005

Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF. 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

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

4.2

6

Additional Information

GAO Approval Not Required

Employment eligibility verification records.

Disposition Authority Number DAA-GRS-2017-0007-0007

Employment Eligibility Verification form I-9 and any supporting documentation.

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 2.2, item 060	

GRS or Superseded Authority Citation N1-GRS-97-004 / 10/B

Disposition Instruction

Retention Period Destroy 3 years after employee separates from service or transfers to another agency.

Additional Information

GAO Approval Not Required

7

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. Exclusion: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

7.1

Acceptable performance appraisals of non-senior executive service employees.

Disposition Authority Number DAA-GRS-2017-0007-0008

Performance records for employees as defined in 5 U.S.C. 4301(2)). Exclusion: Performance records superseded through an administrative, judicial, or quasi-

judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404

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 2.2, item 070	

GRS or Superseded Authority Citation **N1-GRS-95-003 / 23/A/3/A
N1-GRS-98-002 / 2
N1-GRS-95-003 / 23/A/4
N1-GRS-98-002 / 3**

Disposition Instruction

Retention Period **Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

7.2

Unacceptable performance appraisals of non-senior executive service employees.

Disposition Authority Number **DAA-GRS-2017-0007-0009**

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. Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404

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 2.2, item 071	

GRS or Superseded Authority Citation **N1-GRS-93-003 / 23/A/1**

Disposition Instruction

Retention Period **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.**

Additional Information

GAO Approval **Not Required**

7.3

Records of senior executive service employees.

Disposition Authority Number **DAA-GRS-2017-0007-0010**

Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards. Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404

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 2.2, item 072	

GRS or Superseded Authority Citation **NC1-064-77-001 / 9
N1-GRS-88-003 / 23/B/2/A
N1-GRS-98-002 / 4**

7.4	N1-GRS-82-002 / 23/B/3 N1-GRS-98-002 / 5					
	Disposition Instruction					
	Retention Period	Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.				
	Additional Information					
	GAO Approval	Not Required				
	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.					
	Disposition Authority Number	DAA-GRS-2017-0007-0011				
	Superseded performance records of both non-senior executive service employees and senior executive service employees. Legal citation: 5 CFR Part 293.404					
	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				
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GRS 2.2, item 073						
GRS or Superseded Authority Citation	N1-GRS-93-003 / 23/A/2 N1-GRS-82-002 / 23/B/1					
Disposition Instruction						
Retention Period	Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.					
Additional Information						
GAO Approval	Not Required					
Supervisors' personnel files.						
Disposition Authority Number	DAA-GRS-2017-0007-0012					

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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. 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. 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.

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 2.2, item 080	

GRS or Superseded Authority Citation NC1-064-77-010 / 18/A
NC1-064-77-010 / 18/B

Disposition Instruction

Retention Period Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.

Additional Information

GAO Approval Not Required

9

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. Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.

9.1

Application records.

Disposition Authority Number **DAA-GRS-2017-0007-0013**

Records related to administering the application or renewal of official passports and visas, including: • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations

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 2.2, item 090	

GRS or Superseded Authority Citation **N1-GRS-91-001 / 5/A
N1-GRS-98-002 / 33 – in part**

Disposition Instruction

Retention Period **Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

9.2

Official passport registers.

Disposition Authority Number **DAA-GRS-2017-0007-0014**

Registers and lists of agency personnel who have official passports.

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**

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 2.2, item 091	

GRS or Superseded Authority Citation **N1-GRS-98-002 / 9**

Disposition Instruction

Retention Period **Destroy when superseded or obsolete.**

Additional Information

GAO Approval **Not Required**

Volunteer service program administrative records.

Disposition Authority Number **DAA-GRS-2017-0007-0015**

Records documenting routine administration, internal procedures, and general activities, including: • general correspondence • annual reports on volunteer activities

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 2.2, item 100	

Disposition Instruction

Retention Period **Destroy when 3 years old, but longer retention is authorized if required for business use.**

Additional Information

10

11

GAO Approval **Not Required**

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: • volunteer agreements documenting position title, office title, 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

11.1

Case files on volunteers.

Disposition Authority Number **DAA-GRS-2017-0007-0016**

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.

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 2.2, item 110	

Disposition Instruction

Retention Period **Destroy 4 years after volunteer departs service, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

11.2

Case files on individuals whose applications were rejected or withdrawn.

Disposition Authority Number **DAA-GRS-2017-0007-0017**

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 2.2, item 111	

Disposition Instruction

Retention Period **Destroy when 1 year old.**

Additional Information

GAO Approval **Not Required**

Skill set records.

Disposition Authority Number **DAA-GRS-2017-0007-0018**

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. 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.

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 2.2, item 120	

Disposition Instruction

12

Retention Period	Destroy when business use ceases.
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
02/08/2017	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/18/2017	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/30/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/31/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

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>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-in part (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>	<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>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>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>			
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>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>	<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>	DAA-GRS-2017-0007-0003	
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>Supersedes: GRS 1, item 1b (N1-GRS-87-12, item 1b2) <i>65 years</i></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>	DAA-GRS-2017-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority	
041	<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>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, whichever is earlier.</p>	DAA-GRS-2017-0007-0005
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>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>	DAA-GRS-2017-0007-0006	
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>	DAA-GRS-2017-0007-0007	

Item	Records Description	Disposition Instruction	Disposition Authority	
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 of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.</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>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 no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0008
071		<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>	DAA-GRS-2017-0007-0009

Item	Records Description	Disposition Instruction	Disposition Authority
072	<p>Supersedes: GRS 1, item 23a1 (N1-GRS-93-3, item 23a1) <i>1 year</i></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>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 no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0010
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>Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2017-0007-0011

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 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>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 documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	DAA-GRS-2017-0007-0012
090	<p>Records related to official passports. The Department of State issues official passports to people traveling abroad to carry</p>	<p>Application records. Records related to administering the application or renewal of official passports and visas, including:</p>	<p>Temporary. Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but</p>	DAA-GRS-2017-0007-0013

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>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>	<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>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>	longer retention is authorized if required for business use.	
091		<p>Official passport registers. Registers and lists of agency personnel who have official passports.</p> <p>Supersedes: GRS 9, item 5c – in part (N1-GRS-98-2, item 9) <i>Superseded or obsolete</i></p>	Temporary. Destroy when superseded or obsolete.	DAA-GRS-2017-0007-0014
092		Official passports of transferred or separated agency personnel.	Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.	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 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2017-0007-0015

Item	Records Description	Disposition Instruction	Disposition Authority	
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 • performance evaluations • training information • certificates of appreciation • correspondence documenting inclusive dates of service and total hours or days worked 	<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>	<p>DAA-GRS-2017-0007-0016</p>
111		<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>	

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-2017-0007-0001	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 (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
2.2	020	3 years	DAA-GRS-2017-0007-0002	New Item			
2.2	030	2 years	DAA-GRS-2017-0007-0003	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-2017-0007-0004	1	1b	65 years	N1-GRS-87-12, item 1b2
2.2	041	Superseded or obsolete, or upon separation	DAA-GRS-2017-0007-0005	1	10a	Superseded or obsolete	N1-GRS-97-4, item 10a
2.2	050	When business use ceases	DAA-GRS-2017-0007-0006	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-2017-0007-0007	1	10b	3 years	N1-GRS-97-4, item 10b
2.2	070	4 years	DAA-GRS-2017-0007-0008	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-2017-0007-0009	1	23a1	1 year	N1-GRS-93-3, item 23a1
2.2	072	5 years	DAA-GRS-2017-0007-0010	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-2017-0007-0011	1	23a2	Superseded	N1-GRS-93-3, item 23a2
				1	23b1	Superseded	N1-GRS-82-2, item 23b1
2.2	080	Superseded or obsolete or 1 year	DAA-GRS-2017-0007-0012	1	18a	Superseded or obsolete or 1 year	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-2017-0007-0013	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-2017-0007-0014	9	5c (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
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-2017-0007-0015	New Item			
2.2	110	4 years	DAA-GRS-2017-0007-0016	New Item			
2.2	111	1 year	DAA-GRS-2017-0007-0017	New Item			
2.2	120	When business use ceases	DAA-GRS-2017-0007-0018	New Item			