

## GENERAL RECORDS SCHEDULE (GRS) 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.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

**Note:** Contracts that contain DEAR 970.5204-3, Access and Ownership of Records Clause, identifies records that are Contractor-owned and those that are Government owned (Federal records) and requires the contractor to maintain all records, created/received in performance of the contract, regardless of ownership in accordance with NARA-approved Records Disposition Schedules. Therefore, this schedule would apply to records created/maintained by the contractor in performance of its contract. For contracts that do not contain the clause, these schedules would only apply to Federal records.

Item	Records Description		Disposition Instruction	Disposition Authority
010	<b>Separation program management records. (FEDERAL ONLY)</b> Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes: <ul style="list-style-type: none"> <li>registers of separation or transfers such as SF-2807, SF-3103, or similar records</li> </ul>	<b>Records not specific to an agency separation initiative.</b>	Temporary. Destroy <del>when no longer required for business use.</del> <div style="border: 2px solid red; padding: 5px; display: inline-block;">DOE Business Use: Destroy when 2 years old.</div>	DAA-GRS-2014-0004-0001
011	<ul style="list-style-type: none"> <li>retention registers and related records</li> <li>reports, correspondence, and control documents</li> <li>exit interview compilations identifying and tracking trends</li> </ul>	<b>Records specific to an agency separation initiative such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.</b>	Temporary. Destroy 2 years after date of program closure, <del>but longer retention is authorized if required for business use.</del>	DAA-GRS-2014-0004-0002

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p><b>Individual employee separation case files. (FEDERAL ONLY)</b></p> <p>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"> <li>• records of counseling activities and outplacement services</li> <li>• exit interview records</li> <li>• exit clearances</li> <li>• checklists of returned property</li> <li>• certifications of removal/non-removal of government records</li> <li>• records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation</li> <li>• 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)</li> <li>• 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)</li> <li>• copy of leave record (see "Record of employee leave," item 040 of this schedule, for record copy) retained for agency use</li> </ul> <p><b>Exclusion:</b> Records required to be filed in employee's OPF are excluded from this item.</p>	<p><b>Temporary.</b> Destroy 1 year after date of separation or transfer, <del>but longer retention is authorized if required for business use.</del></p> <p><b>Contractors utilize DOE 2.2, item 030</b></p>	DAA-GRS-2014-0004-0003
030	<p><b>Records documenting capture of institutional and specialized knowledge.</b></p> <p>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><b>Exclusion:</b> 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><b>A new DOE RDS item is being created for formal oral history records.</b></p>	<p><b>Temporary.</b> Destroy <del>when no longer required for business use.</del></p> <p><b>DOE Business Use: Destroy when 1 year old</b></p>	DAA-GRS-2014-0004-0004

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040	<p><b>Individual employee separation records required to be placed in separating employee's OPF. (FEDERAL ONLY)</b></p> <p>As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• resignation letter</li> <li>• reason for separation (such as reduction in force)</li> <li>• documentation of retirement-option elections and coverage</li> <li>• documentation of indebtedness</li> <li>• documentation of payment or repayment to, or refund from FERS or CSRS</li> <li>• record of employee leave prepared upon transfer or separation</li> <li>• records of most recent performance ratings</li> <li>• designation of beneficiary</li> </ul>	<p>File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p><b>Contractors utilize DOE 2.2, item 030</b></p> </div>	
050	<p><b>Phased retirement administrative records. (FEDERAL ONLY)</b></p> <p>Records related to managing the program, including:</p> <ul style="list-style-type: none"> <li>• procedural guidance on program administration</li> <li>• informational/marketing/publicizing materials</li> <li>• general correspondence</li> <li>• reports to OPM</li> <li>• memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations</li> <li>• documentation of program structure and details as uniquely instituted by agency</li> </ul> <p><b>Exclusion:</b> This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.</p>	<p><b>Temporary.</b> Destroy when 3 years old or 3 years after revision or replacement, as appropriate, <del>but longer retention is authorized if required for business use.</del></p>	DAA-GRS-2016-0007-0001
051	<p><b>Phased retirement individual case files. (FEDERAL ONLY)</b></p> <p>Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> <li>• application for immediate retirement</li> <li>• evidence of eligibility</li> <li>• reviews/recommendations by supervisor and others</li> <li>• notice of approval or disapproval</li> </ul>	<p><b>Temporary.</b> Destroy 1 year after employee participation concludes or the employee retires, <del>but longer retention is</del></p>	DAA-GRS-2016-0007-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"><li>• retirement benefit estimates</li><li>• annuity calculations</li><li>• phased retirement agreement</li><li>• records documenting knowledge transfer activities</li><li>• confidentiality agreement with mentees</li><li>• action/project plans and logs</li><li>• correspondence</li></ul> <p><b>Note:</b> Agencies may choose to file these records with the employee's retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020.</p> <p><b>Exclusion:</b> This item does not cover records held at OPM concerning staff at other agencies.</p>	<del>authorized if required for business use.</del>	