

DEPARTMENT OF ENERGY (DOE) 2.2: Employee Management Records

Records created or received while carrying out the work of civilian (Federal) and contractor employee management: managing employee performance, creating, and maintaining personnel and workforce planning records.

Note: Refer to GRS 2.2 for all records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	Employee Cards – Legacy Records ONLY Employee Cards / Service Record Cards (Standard Form (SF) 7 or equivalent) for employee separations, transfers or for informational purposes outside personnel offices. These forms are legacy records only as the form(s) became obsolete after December 31, 1994. Note: Employee cards are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	Temporary. Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0010-0001
EPI			
015	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. 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. Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records. Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions. 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.	Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 250 years old, whichever is longer.	DAA-GRS-2017-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	Note 3: GRS 2.2, Item 040, authorizes use of longer retention; records are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.		
020	Personnel Office Correspondence (Contractor) Administrative and correspondence type files relating to general administration and operation of the Contractors personnel functions and such other records not maintained or described elsewhere in this schedule. Exclusion: Excludes any correspondence pertaining to or required to be maintained in the Contract File.	Temporary. Destroy when 6 years old.	DAA-0434-2020-0010-0002
030	Official Personnel Files (Contractor) The official personnel file for contractor employees, which documents an individual's employment history while performing work at a DOE facility, a facility under DOE management, and/or under a DOE contract. Records may include, but are not limited: • job description(s) • resume • job application • background investigation • personnel and payroll actions • life and health coverages • military service documents • incentive awards and commendations • performance evaluations • employment agreements • recruitment, relocation and retention incentive packages Note: Contractor personnel records are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	Temporary. Destroy 250 years after employee separation from DOE Contract.	DAA-0434-2020-0010-0003

EPI

Item	Records Description	Disposition Instruction	Disposition Authority
040	Employee Incentive Award Records (Federal) Employee awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum special act awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes department-level awards and correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. Note 1: Records are needed longer to support the Office of Inspector General's (OIG) mission of preventing fraud, waste, and abuse in DOE programs and operations. Note 2: GRS 2.2, item 030 excludes department-level awards, requiring an agency-specific schedule. Utilize GRS 2.2, item 030 for nonmonetary items conferred in connection with informal recognition awards of \$50.00 or less. Note 3: Approved cash and time off award SF50s (or similar) are maintained in the Official Personnel Folder (OPF)/electronic OPF (eOPF) (DOE 2.2, item 015).	Temporary. Destroy when 10 years old.	DAA-434-2020-0010-0004
050	Employee Performance File System Records – Presidential Appointees 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. Performance records for presidential appointees. Note: Exclusion to GRS 2.2, items 070, 071, 072 and 073, which requires performance records of presidential appointees to have an agency schedule.	Temporary. Destroy 7 years after employee separation.	DAA-0434-2020-0010-0005

GENERAL RECORDS SCHEDULE (GRS) 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.

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	Employee management administrative records. (FEDERAL ONLY) DOE NOTE: Contractors utilize DOE 2.2, item 020 Personnel Office Correspondence. 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.	Temporary. Destroy when 3 years old.	DAA-GRS-2017-0007-0001

Item	Records Description	Disposition Instruction	Disposition Authority
020	Workforce and succession planning records. (FEDERAL ONLY) DOE NOTE: Contractors utilize DOE 2.2, item 020 Personnel Office Correspondence. 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.	Temporary. Destroy 3 years after issuing each new plan-	DAA-GRS-2017-0007-0002
030	Employee incentive award records. (FEDERAL ONLY) DOE NOTE: Utilize: • GRS 2.2, item 030 Employee incentive award records (Federal) for nonmonetary items conferred in connection with informal recognition of awards of \$50.-00 or less. • DOE 2.2, item 040 Employee Incentive Awards (Federal) for records not maintained in the Office Personnel Folder (OPF)/electric OPF (eOPF). • DOE 2.2, item 030 Official Contractor Personnel File for Employee Incentive Awards (Contractors). 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.	Temporary. Destroy 2 years after final action.	DAA-GRS-2023-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
040	Official Personnel Folder (OPF)/electronic OPF (eOPF). (FEDERAL ONLY) 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 <i>The Guide to Personnel Recordkeeping</i> for instructions.	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. Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records. SUPERSEDED by: Federal – utilize DOE 2.2, item 015 Official Personnel Folder (OPF) / electronic OPF (eOPF). Contractor – Utilize DOE 2.2, item 030 Official Contractor Personnel File.	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.	DAA-GRS-2017-0007-0004
041	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.	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. 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.	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.	DAA-GRS-2017-0007-0005
050	Notifications of personnel actions. (FEDERAL ONLY) 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. Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.		Temporary. Destroy when business use ceases. DOE NOTE: Destroy when 3 years old.	DAA-GRS-2017-0007-0006

Item	Records Description		Disposition Instruction	Disposition Authority
060	Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.		Temporary. Destroy 3 years after employee separates from service or transfers to another agency.	DAA-GRS-2017-0007-0007
070	Employee performance file system records. (FEDERAL ONLY) Employee performance records are ratings of record, the performance plans on which ratings are based, supporting	Acceptable performance appraisals of non-senior executive service employees. 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	Temporary. Destroy no sooner than 4 years after date of appraisal.	DAA-GRS-2017-0007-0008
071	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.	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. Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404	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.	DAA-GRS-2017-0007-0009

Item	Records Description		Disposition Instruction	Disposition Authority
072	Such records must be scheduled by submitting an agency-specific schedule to NARA.	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. 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	Temporary. Destroy no sooner than 5 years after date of appraisal.	DAA-GRS-2017-0007-0010
073		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. Legal citation: 5 CFR Part 293.404	Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2017-0007-0011

Item	Records Description		Disposition Instruction	Disposition Authority
080	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. 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.		Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	DAA-GRS-2017-0007-0012
090	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.	Application records. 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	Temporary. Destroy 3 years after submission-	DAA-GRS-2023-0002-0002

Item	Records Description		Disposition Instruction	Disposition Authority
091		Official passport registers. Registers and lists of agency personnel who have official passports.	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	Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including: • general correspondence • annual reports on volunteer activities		Temporary. Destroy when 3 years old.	DAA-GRS-2017-0007-0015
110	Volunteer service case files. (FEDERAL ONLY) 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	Case files on volunteers. 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.	Temporary. Destroy 4 years after volunteer departs service-	DAA-GRS-2017-0007-0016
111		Case files on individuals whose applications were rejected or withdrawn.	Temporary. Destroy when 1 year old.	DAA-GRS-2017-0007-0017

Item	Records Description	Disposition Instruction	Disposition Authority
120	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. 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.	Temporary. Destroy when business use ceases. DOE NOTE: Destroy when 2 years old.	DAA-GRS-2017-0007-0018