

DEPARTMENT OF ENERGY (DOE) 2.1: Employee Acquisition Records

Records created or received in the process of hiring employees for Federal civilian, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers the academic/outreach program and job or position descriptions and contractor job classification records.

Note: Refer to GRS 2.1 for all other employee acquisition records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Contractor Employee Job Classification Manuals</p> <p>Records describing tasks associated with <u>all</u> jobs (administrative, technical, safety, operations, laboratory, environmental, trades, etc.) and reflect the procedures and training required to accomplish them.</p>	<p>Temporary. Destroy 75 years after superseded or obsolete.</p>	<p>DAA-0434-2020-0009-0001</p>
020	<p>Position Descriptions</p> <p>Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p> <p>Note: GRS 2.1, item 020, authorizes use of longer retention; records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.</p>	<p>Temporary. Destroy 75 years after position is superseded, obsolete, or position abolished.</p>	<p>DAA-GRS-2014-0002-0002</p>
030	<p>Political Appointment (Schedule C) Records - Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS)</p> <p>Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C.</p>	<p>Appointees</p> <p>Records (except ethics pledges and waivers) related to appointees.</p> <p>Note: File all ethics pledges and waivers of appointees in the eOPF.</p>	<p>Temporary. Destroy immediately at the end of the presidential administration for which the individual was hired.</p> <p>DAA-0434-2020-0009-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
040	<p>Includes:</p> <ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees <p>Note: Exclusion to GRS 2.1, item 100 and 102, which requires an agency schedule for records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS).</p>	<p>Non-Appointees</p> <p>Records related to non-appointees that were up for consideration, but not appointed.</p>	<p>Temporary. Destroy when 1 year old.</p>	<p>DAA-0434-2020-0009-0003</p>
050	<p>Academic/Outreach Programs</p> <p>Records created to document academic/educational outreach program across the DOE complex. These programs include transactions, communications, tracking and reporting between the Department, its contractors and schools, colleges/universities, community groups, and various state and Federal agencies for the purpose of generating and tracking interest in careers with the DOE and its contractors.</p> <p>Programs include, but are not limited to internships, fellowships, scholarships, scholastic tournaments (e.g., science Bowl), tutoring programs, talent searches and conferences (e.g., Young Entrepreneurs Conference), technical societies (e.g., Junior Engineering Technical Society (JETS)) opportunities for all disciplines, related to generating</p>	<p>Academic/Outreach Program Records</p> <p>Academic/Outreach Program development and management records for all disciplines. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • policies, plans and procedures • correspondence • tracking of impacts of educational programs on the people involved and for measuring the success rate of each program • reports on overall program 	<p>Temporary. Destroy 10 years after superseded/obsolete or when 10 years old, whichever is longer.</p>	<p>DAA-0434-2020-0009-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
055	<p>and tracking interest in careers with DOE and its contractors.</p> <p>Note 1: Utilize GRS 2.1, items 120 or 130 for special hiring authority program records.</p> <p>Note 2: Recruitment records are scheduled under GRS 2.1, item 180.</p>	<p>Academic/Outreach Program Administrative and Tracking Records</p> <p>Academic/Outreach Program administrative, tracking, implementation and reporting records for all disciplines. Records include but are not limited to:</p> <ul style="list-style-type: none"> • Memorandum of Understanding with schools, colleges, grants, scholarships and budget information • contact information with academic organizations and community groups • scholastic tournaments (e.g., science Bowl), <ul style="list-style-type: none"> ○ correspondence ○ reports ○ awards ○ final results 	<p>Temporary. Destroy 6 years after superseded/ obsolete or when 6 years old, whichever is longer.</p>	<p>DAA-0434-2020-0009-0005</p>
060		<p>Intern, Fellows and Scholar Records</p> <p>General administrative records that document the hiring and management of interns, fellows, scholars or other similar positions. Records include but are not limited to:</p> <ul style="list-style-type: none"> • development • summaries / progress reports 	<p>Temporary. Destroy 2 years after individual's participation in program ends.</p>	<p>DAA-0434-2020-0009-0006</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
		<ul style="list-style-type: none">• correspondence <p>Note: See GRS 2.1 for hiring records of Federal or Contractor employees, which excludes interns.</p>		

GENERAL RECORDS SCHEDULE (GRS) 2.1: Employee Acquisition Records

This schedule covers records agencies create in the process of hiring employees for Federal civilian service, whether career service, senior executive service, political appointment, excepted service appointment, or temporary/special appointment. It also covers records documenting job or position descriptions and classification. The Office of Personnel Management (OPM) exercises oversight of many—but not all—Federal agencies’ employee selection processes. Its procedural rules and best practices are spelled out in its “Delegated Examining Operations Handbook.” This schedule reflects OPM’s determinations on appropriate records retention periods.

This schedule applies only to civilian (FEDERAL) employee hiring records, although in both civilian and military agencies. Military staff selection follows very different processes and creates records that are unique to only a few agencies. Therefore, these records are not covered in the GRS.

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) also 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	<p>Classification standards. (FEDERAL ONLY)</p> <p>Correspondence and other records relating to developing classification standards specific to a single agency or all agencies, including notice of Office of Personnel Management (OPM) approval or disapproval.</p> <p>Exclusion: OPM’s case files on classification standards are not covered by this item.</p>	<p>Temporary. Destroy 2 years after standard is superseded, canceled, or disapproved by OPM (as appropriate) but longer retention is authorized if required for business use.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Utilize DOE 2.1, Item 010, Contractor Employee Job Classification Manuals</p> </div>	DAA-GRS-2014-0002-0001

Item	Records Description		Disposition Instruction	Disposition Authority
020	Position descriptions. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.	Official record copy of position description. Copy held at Human Resources office.	Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use. <div style="border: 2px solid red; padding: 5px;"> Utilize DOE 2.1, Item 020, Position Descriptions </div>	DAA-GRS-2014-0002-0002
021		Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file.	Destroy in accordance with disposal instructions for associated file. <div style="border: 2px solid red; padding: 5px;"> Federal: DOE 2.2, item 015, GRS 2.2, item 041 or GRS 2.2, item 080 per OPM recordkeeping requirements Contractors: DOE 2.2, item 030 </div>	
022		All other related records. Includes: <ul style="list-style-type: none"> • case file at position's program office 	Temporary. Destroy when position description is final but longer retention is	DAA-GRS-2014-0002-0003

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> background material in Human Resources case file other copies of records in item 020 	authorized if required for business use.		
030	<p>Position reviews and classification appeals. (FEDERAL ONLY) Records an agency creates and receives when reviewing a position’s classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits.</p> <p>Exclusion: OPM’s corresponding case file is not covered by this item.</p>	Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0004	
040	<p>Certificates of classification. (FEDERAL ONLY) Certificates a Federal agency receives from OPM, stating final decision on a position classification appeal.</p> <p>Exclusion: OPM’s file is not covered by this item.</p>	Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0005	
050	<p>Job vacancy case files. Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:</p> <ul style="list-style-type: none"> request for lists of eligible candidates job announcement examination announcement job analysis, assessment criteria, and crediting plan basis for certification applications, resumes, supplemental forms, other attachments list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification 	Records of one-time competitive and Senior Executive Service announcements/ selections.	Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2017-0011-0001
051	<ul style="list-style-type: none"> certificates, registers or lists of eligible candidates issued to selecting officials job-related test records 	Records of standing register competitive files for multiple	Temporary. Destroy 2 years after termination of register.	DAA-GRS-2017-0011-0002

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • mandatory applicant drug test records • annotated certificates of eligible candidates returned by selecting officials • job offers • records of job offer being accepted or declined • correspondence/documentation of announcement or recruiting operation <p>Legal citation: 5 CFR 335.103</p>	<p>positions filled over a period of time.</p>	
060	<p>Job application packages. Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Includes:</p> <ul style="list-style-type: none"> • application • resume • supplemental forms • other attachments <p>Note: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 050 and 051).</p>	<p>Temporary. Destroy 1 year after date of submission.</p>	<p>DAA-GRS-2014-0002-0011</p>
070	<p>Case files on lost or exposed job test materials. Files showing the circumstances of loss, nature of the recovery action, and corrective actions when Civil Service or job-specific test questions are erroneously made potentially available to candidates.</p>	<p>Temporary. Destroy 5 years after date of final report.</p>	<p>DAA-GRS-2014-0002-0012</p>
080	<p>Requests for non-competitive personnel action. (FEDERAL ONLY) Agency copy of requests submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.</p>	<p>Temporary. Destroy 1 year after approval is granted or denied.</p>	<p>DAA-GRS-2014-0002-0013</p>
090	<p>Interview records. Case files related to filling job vacancies, held by hiring official and interview panel members. Includes:</p> <ul style="list-style-type: none"> • copies of records in the job vacancy case file (item 050 and 051) • notes of interviews with selected and non-selected candidates • reference check documentation 	<p>Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement</p>	<p>DAA-GRS-2014-0002-0008</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Legal citations: 5 CFR 335.103, 5 CFR 300.104. According to 5 CFR 300.104, the time frame in which an appeal must be filed may be established by each agency at its own discretion.</p>	<p>of any associated litigation, whichever is later.</p>		
100	<p>Political appointment (Schedule C) records. (FEDERAL ONLY) Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes:</p> <ul style="list-style-type: none"> • applications for employment • resumes • individuals' background information • ethics pledges and waivers • security clearances • correspondence • other documentation relating to the selection, clearance, and appointment of political appointees 	<p>Records (except ethics pledges and waivers) related to appointees.</p>	<p>Temporary. Destroy after separation. Retention up to end of administration under which individual was hired is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0014</p>
<p>Utilize DOE 2.1, Item 030 Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records - Appointees</p>				
101		<p>Ethics pledges and waivers of appointees.</p>	<p>File in appointee's Official Personnel File, per Executive Order 13490.</p>	
102	<p>Exclusion: Records of Schedule C Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) are not covered by this item and must be scheduled by the agency.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	<p>Records related to non-appointees.</p>	<p>Temporary. Destroy 1 year after consideration of the candidate ends. Retention up to end of administration under which individual was considered is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0015</p>
<p>Utilize DOE 2.1, Item 040 Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records – Non-appointees</p>				

Item	Records Description	Disposition Instruction	Disposition Authority	
110	<p>Excepted service appointment records. (FEDERAL ONLY) Records created in filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301 and 3401). Includes (as appropriate):</p> <ul style="list-style-type: none"> • application, attachments, and supplemental forms • documentation of eligibility for excepted service appointment • proof of special qualifications • resume or other proof of employment, education, or relevant experience • proof of disability issued by a licensed medical professional • certification of job readiness • notice of appointment, terms, and acceptance 	<p>Case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u).</p>	<p>Temporary. Destroy 5 years after candidate enters on duty, is no longer under consideration, or declines offer.</p>	<p>DAA-GRS-2014-0002-0018</p>
111	<p>Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it.</p> <p>Legal authorities: 5 CFR 213.3101, 3102, 3201, 3202, 3301, 3302, 3401, 3402.</p>	<p>Case files related to all other appointees.</p>	<p>Temporary. Destroy 2 years after candidate enters on duty, is no longer under consideration, or declines offer.</p>	<p>DAA-GRS-2014-0002-0019</p>
120	<p>Special hiring authority program records. (FEDERAL ONLY) Records an agency creates and receives that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.</p>	<p>Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0016</p>	
130	<p>Records related to individual employees hired under special temporary authority. (FEDERAL ONLY) Includes participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position.</p>	<p>Temporary. Destroy 2 years after employee is converted to a permanent position or leaves a program but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2014-0002-0017</p>	

Item	Records Description		Disposition Instruction	Disposition Authority
140	Pre-appointment files. Records created when vetting a prospective employee between the time a job offer is accepted and the time employee enters on duty.		Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Included are forms in the SF-85 family, finger print charts, and related correspondence.	Forward to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.
141	Records appropriate for inclusion in OPF. Such as designation of beneficiary, life insurance election, and health benefits registration.		Records concerning prospective employees who enter on duty.	Forward to appropriate human resources office to include in OPF after employee enters on duty.
142			Records concerning prospective employees who do not enter on duty.	Temporary. Destroy 1 year after prospective employee is no longer a candidate. DAA-GRS-2014-0002-0009
143	Copies of records included in Job vacancy case file (items 050 or 051).		Temporary. Destroy after prospective employee enters on duty, declines appointment, or is no longer a candidate.	DAA-GRS-2014-0002-0010
150 <div style="border: 2px solid red; padding: 2px; display: inline-block; margin-top: 5px;">EPI</div>	Records of delegation of authority for examination and certification. (FEDERAL ONLY) Agreements and related records created under the authority of 5 U.S.C. 1104 by which OPM delegates to an agency the authority to examine and certify applicants for employment. Exclusion: OPM's records are not covered by this item.		Temporary. Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0021
160	Delegated authority audits. (FEDERAL ONLY) Reports of delegated examining operations audit delivered to the audited agency. Exclusion: OPM's records are not covered by this item.		Temporary. Destroy when 3 years old but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0022

Item	Records Description	Disposition Instruction	Disposition Authority
170	<p>Adverse impact files. Records documenting the impact of tests and other selection procedures on peoples' employment opportunities, recorded by sex, race, and ethnic group in order to determine compliance with the Uniform Guidelines on Employee Selection Procedures. Includes records documenting:</p>	<p>Records revealing no adverse impact. Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0001</p>
171	<p>• number of applicants by sex, race, and national origin • number of people hired, promoted, and terminated, by sex, race, and national origin • selection procedures and their validity</p>	<p>Records revealing an adverse impact. Legal citation: 29 CFR 1607.15A(2)(b)</p> <p>Temporary. Destroy 2 years after eliminating the adverse impact, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0002</p>
180	<p>Recruitment records. Records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. Includes:</p> <ul style="list-style-type: none"> • records documenting planning and logistics of individual recruitment events • record copy of advertisement and materials for distribution (see Exclusion 2) • contact information and interest areas collected from potential job candidates • recruitment event reports • correspondence with prospective candidates <p>Exclusion 1: Military recruitment advertising records must be scheduled by military establishments.</p> <p>Exclusion 2: Recruitment posters must be scheduled by agencies.</p>	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0008-0003</p>