

ED Records Schedule

SCHEDULE LOCATOR NO.: 207

REVISION DATE: 7/7/2010

TITLE: Employee Performance File System Records

PRINCIPAL OFFICE: Department-wide

NARA DISPOSITION AUTHORITY: GRS – See disposition instructions

DESCRIPTION:

Records related to employee performance. [**NOTE:** Presidential Appointees confirmed by the Senate are not subject to formal performance evaluations by the Department.]

DISPOSITION INSTRUCTIONS:

a. Non-SES Appointees (as defined in 5 U.S.C. 4301(2) [GRS 1, Item 23.a]

1. Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.

TEMPORARY

Destroy/delete after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

2. Performance records superseded through an administrative, judicial, or quasi-judicial procedure

TEMPORARY

Destroy/delete when superseded.

3. Performance-related records pertaining to a former employee

- a. Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating

TEMPORARY

Place records on left side of the official personnel file (OPF) and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see GRS 1, Item b). If the Department retrieves an OPF from NPRC it will dispose of these documents in accordance with Item a.3.b of this schedule.

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- b. All other performance plans and ratings

TEMPORARY

Cut off at annually. Destroy/delete 4 years after cutoff.

4. All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based

TEMPORARY

Cut off after date of appraisal. Destroy/delete 4 years after cutoff.

5. Supporting documents

TEMPORARY

Cut off after date of appraisal. Destroy/delete 4 years after cutoff.

- b. SES Appointees (as defined in 5 U.S.C. 3132a(2) [GRS 1, Item 23.b])

1. Performance records superseded through an administrative, judicial, or quasi-judicial procedure

TEMPORARY

Destroy/delete when superseded.

2. Performance-related records pertaining to a former SES appointee

- a. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

TEMPORARY

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see GRS 1, Item b). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item b.2.b of this schedule.

- b. All other performance ratings and plans

TEMPORARY

Cut off annually. Destroy/delete 5 years after cutoff.

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3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 C.F.R. 214)

TEMPORARY

Cut off after date of appraisal. Destroy/delete 5 years after cutoff.

4. Career SES appointees serving on a Presidential appointment (5 C.F.R. 214) who choose to retain their career SES consideration for bonuses and Presidential Rank awards

TEMPORARY

Cut off after date of appraisal. Destroy/delete 5 years after cutoff.

5. Supporting documents

TEMPORARY

Cut off after date of appraisal. Destroy/delete 5 years after cutoff.

- c. Talent Management System Master Data Files [GRS 1, Items 23.a(4), 23.a(5), 29.a and 29.b]

The TMS is the employee performance system of record for the Department. This system allows employees and supervisors to create performance agreements on-line and receive on-line evaluations and feedback from their supervisor. The TMS will deliver and measure employee learning and development in a real time environment and manage all forms of organizational learning, from traditional classroom instruction, web-based training, on-the-job training and self-directed study. The system also centralizes and automates the entire learning management process.

TEMPORARY

Destroy/delete when 5 years old.

IMPLEMENTATION GUIDANCE:

Follow the disposition instructions in ED 086 Information Systems Supporting Materials for system software; input/source records; output and reports; and system documentation.

As required by 36 C.F.R. 1228.58, records with special restrictions such as confidential business information or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

ARRANGEMENT/ANNUAL ACCUMULATION:

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PREVIOUS NARA DISPOSITION AUTHORITY:

SPECIFIC LEGAL REQUIREMENTS:

5 U.S.C. 4301(2), 5 U.S.C. 3132a(2)
5 C.F.R. 214, 5 C.F.R. 293.404

SPECIFIC RESTRICTIONS:

Privacy Act 18-05-10 General Performance Appraisal System (GPAS)

LINE OF BUSINESS: Administration/Departmental