

U.S. Department of Energy
Washington, D.C.

ORDER

HQ 3293.1

1-18-84

SUBJECT: PERSONNEL RECORDS

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1. PURPOSE. To establish the Headquarters policies and procedures governing the establishment, maintenance, and disposition of personnel records maintained by managers, administrative officers, and servicing Headquarters personnel operations organizations, and the Office of the Executive Director of the Office of the Inspector General, except those records pertaining to executive level, Schedule C, consultant, and expert positions.
 2. SCOPE. The provisions of this Order apply to all Headquarters Elements, including the Office of the Inspector General (IG).
 3. REFERENCES.
 - a. Federal Personnel Manual, chapter 293, and supplement 293-31, which contain definitions of permanent and temporary personnel records and requirements regarding their establishment, maintenance, and disposition.
 - b. Privacy Act of 1974 (5 U.S.C. 552(a), Public Law 93-579), and Regulations for Compliance with the Privacy Act of 1974 (10 CFR 708). These set forth requirements of the Privacy Act.
 - c. DOE 1324.2, RECORDS DISPOSITION, of 5-28-80, which prescribes policies, procedures, standards, and guidelines for the orderly disposition of records.
 - d. HQ 3790.1, OCCUPATIONAL HEALTH PROGRAM, of 4-29-83, which prescribes policies and guidelines for maintenance and control of employees medical records.
 4. POLICY.
 - a. Information contained in records systems is limited to that which is relevant to accomplish personnel administration purposes required by statute, Executive order, or Office of Personnel Management regulation.
 - b. Records are maintained and used in compliance with the Privacy Act of 1974 (Public Law 93-579). Offices maintaining personnel records assure compliance with the Privacy Act in their maintenance and use.
 5. RESPONSIBILITIES.
 - a. The Deputy Director of Administration establishes the personnel records policy and procedures.

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INITIATED BY:
Office of Personnel

b. The Director of Headquarters Personnel Operations and the Executive Director of the Office of the Inspector General:

- (1) Issue guidelines and directives to assure proper establishment, maintenance, and disposition of personnel records.
- (2) Assure that appropriate training and orientation programs are established for servicing Headquarters personnel operations organizations, administrative officers, and supervisors who maintain personnel records.
- (3) Retain exclusive control of all personnel records required by regulation except those records which may be referred outside of the designated files for specified use of temporary duration.
- (4) Conduct periodic evaluations of personnel records systems to assure compliance with appropriate laws, Executive orders, and regulations.

6. OFFICIAL PERSONNEL RECORDS. Records maintained by the servicing personnel operations organizations (Headquarters Personnel Operations Division, and the Office of the Executive Director of the Inspector General) include but are not limited to:

a. Standard Form 66 (SF-66), "Official Personnel Folder." The SF-66 is the official repository of the records and reports of personnel actions effected during an employee's Federal service and the documents and papers required in connection with these actions. The personnel action reports and other documents filed as permanent records in the folders give legal force and effect to personnel actions and establish employee rights and benefits under the pertinent laws and regulations governing Federal employment. The SF-66 is the property of the Office of Personnel Management and is maintained in accordance with the policies of that office.

- (1) Location. The SF-66 is located in the employee's servicing personnel operations organization.
- (2) Maintenance of Permanent Records. Records affecting an employee's status and service are filed on the right side of the folder. These records include:
 - (a) Permanent records and documents originating with appointment action.
 - (b) Permanent records and documents originating during the employee's service.
 - (c) Permanent records and documents originating with separation.

- (3) Maintenance of Temporary Records. Documents leading to a formal action, but not constituting a record of it nor making a substantial contribution to the employee's record, are filed on the left side of the SF-66. Examples of temporary records are requests for personnel action, letters of reference, and copies of reduction-in-force notices.
- b. Service Control Files. Standard Form 7 (SF-7), "Service Record," is the service control file. The service control file provides summary information on organizational structure, budgeted positions within each organizational segment, and historical and current status data on employees occupying those positions. The employee's SF-7 is located in the servicing personnel operations organization.
- c. Standard Form 50 (SF-50), "Notification of Personnel Action." The SF-50 is used to document initial employment, promotion, transfer, reassignment, separation, and other individual personnel actions. A chronological file of SF-50's is maintained by each servicing personnel operations organization.
- d. Reduction-in-Force Records. The servicing personnel operations organizations are to maintain the records necessary to determine the retention standing of their competing employees. Retention registers and related records may be reviewed by employees who have received reduction-in-force notices. An affected employee may review the retention register and related records for his or her own competitive level, for levels in which there are employees who may displace him or her, and for levels into which the employee believes he or she may be entitled to displace others.
- e. Merit Promotion Records. The servicing personnel operations organizations are to maintain case files on all promotion actions taken under the authority of the Merit Promotion Plan. Each file is to contain the:
- (1) Merit promotion request;
 - (2) Position description;
 - (3) Priority consideration referral documents;
 - (4) Vacancy announcements;
 - (5) Standard Form 171 (SF-171), "Personal Qualifications Statement," timely received along with rating documentation;
 - (6) Supervisory appraisal of performance;

- (7) Supervisory appraisals of potential, where applicable;
- (8) Eligibility determination worksheets;
- (9) Ranking panel worksheets and summary worksheets;
- (10) Promotion certificate; and
- (11) Register of applicants.

- f. Employee Performance Files. The Employee Performance File contains certain performance-related records on individual employees. The contents of the file are maintained in a separate envelope on the left side of the Official Personnel Folder. It contains an employee's performance standards and performance appraisals for the last rating period and the two preceding periods, any additional appraisals necessitated due to the employee's detail or related to a specific personnel action, any employee comments on the standards or appraisals, and individual development plans, where appropriate.
- g. Disciplinary Action Files. The servicing personnel operations organizations maintain the complete record of each disciplinary action (e.g., reprimand, suspension, demotion, removal taken against employees, including appeals files, if any, growing out of disciplinary actions).
- h. Agency Grievance Files. Employee grievances filed under the Departmental grievance procedures are maintained in the servicing personnel operations organizations.
- i. Position Descriptions. The DOE F 3200.5, "Position Description," is to be maintained by the servicing personnel operations organizations by organization and is to remain in effect until updated or canceled.
- j. Disposition of Records. The disposition of personnel records shall be in accordance with the policy, procedures, and standards provided in DOE 1324.2, RECORDS DISPOSITION, of 5-28-80.

- 7. ACCESS TO PERSONNEL RECORDS. Personnel records are accessed by employees, designated representatives, managers, and the public on a need-to-know basis. Employees generally may obtain access to files related to them and their official positions by requesting such access directly from the servicing personnel operations organization. The employee may be accompanied by a representative or may designate one in writing who is authorized to review specific records pertaining to the employee. Managers generally may obtain access to files related to the organization and employees they supervise

HQ 3293.1
1-18-84

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through their servicing personnel specialist. Other authorizations will be determined on a case-by-case basis. All personnel records are maintained in accordance with the Privacy Act, and their release is subject to the provisions of that act.



HARRY L. PEEBLES
Deputy Director of Administration