

DEPARTMENT OF ENERGY (DOE) 2.4: Employee Compensation and Benefits Records

Records created or received while conducting payroll functions and while managing specific programs that offer employees monetary or other tangible benefits. Additionally, this schedule includes records needed to support various departmental Health Programs that require records to be maintained for an extended period of time (75 years to 250 years). See DOE/GRS 2.3 (Employee Relations Records) and DOE/GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically, with payroll system input records both electronic and paper (paper is usually scanned into the system). This schedule covers only versions determined to be official payroll system records.

Note: Refer to GRS 2.4 for all other Employee Compensation and Benefits records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
Payroll				
010 EPI	Employee Payroll Record for each Pay Period Aggregate records documenting payroll disbursed in each pay period (pay-period batches of an agency’s or contractors’ entire payroll: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity. Note: Deviation to GRS 2.4, item 040 (legal citation 5 U.S.C. 8466), records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.		Temporary. Destroy when 75 years old.	DAA-0434-2020-0013-0001
020 EPI	Time and Attendance Source and Input Records Records including sign-in/sign out records, timecards, leave applications and approvals of all types; overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees’ presence at or absence from work.	Detailed records that include work locations Time and attendance source and input records that contain work locations for specific days/times, charge codes or other identifiers that could place an employee in a particular location or project/operation.	Temporary. Destroy when 250 years old.	DAA-GRS-2019-0004-0002

Item	Records Description	Disposition Instruction	Disposition Authority
		Note: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed to support various departmental Health Programs that require records to be maintained for a longer period of time.	
025 EPI		Records that do not contain work locations (Federal) Time and attendance source and input records that do not contain work locations for specific days/times, charge codes or other identifiers that could place an individual in a particular location, project, or operation. Note: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed longer to support the Office of Inspector Generals (OIG) mission of preventing fraud, waste and abuse in DOE programs and operations.	Temporary. Destroy when 10 years old. DAA-GRS-2019-0004-0002
030 EPI		Records that do not contain work locations (Contractor) Time and attendance source and input records that do not contain work locations for specific days/times, charge codes or other identifiers that could place an individual in a particular location, project, or operation. Note: GRS 2.4, item 030 authorizes a longer retention for business use. Records are needed longer to support the Office of Inspector	Temporary. Destroy 10 years after final payment. DAA-GRS-2019-0004-0002

Item	Records Description		Disposition Instruction	Disposition Authority
		Generals (OIG) mission of preventing fraud, waste and abuse in DOE programs and operations.		
Compensation and Benefits Administrative Program Records				
100 EPI	Workers Compensation (Personal Injury Compensation) Records Case files on injuries employees sustain while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes: - forms, reports, correspondence, claims - medical and investigatory records - administrative determinations or court rulings - payment records Exclusion 1: Copies filed in the Employee Medical Folder. (See DOE 2.7, item 020) Exclusion 2: Copies filed in Individual Employee Personal Injury Case File. (See DOE 2.7, item 110) Exclusion 3: Records created and maintained by the Department of Labor's Office of Workers' Compensation. Note: Deviation to GRS 2.4, item 100 and 101. Records 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 compensation is terminated or when deadline for filing claim has passed.	DAA-0434-2020-0013-0002
110	Unemployment Compensation Records Unemployment compensation records include, but are not limited to: - notification of termination - administrative review		Temporary. Destroy 3 years after employee separates.	DAA-0434-2020-0013-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	- any dispute hearings, correspondence - compensation enrollment forms - employment verification - employee depositions - computation of benefit amounts			
120	Employee Tuition Assistance Program Employee tuition assistance program reimbursement records for work related undergraduate, certificate, and graduate level courses taken at an accredited college, university or vocational school. Records include, but are not limited to: - original - signed tuition request forms - notification of grades - proofs of payments - related correspondence		Temporary. Destroy when 6 years old.	DAA-0434-2020-0013-0004
130	Health Compensation Program The Energy Employees Occupational Illness Compensation Program Act (EEOICPA) and the Radiation Exposure Compensation Act provide that the Department of Energy respond to requests received from employees or their survivors, or from Federal agencies, in support of employee compensation claims, to determine whether exposures have been a factor of illness.	Claims Response Files (Individual Case Files) The following records represent health compensation program Individual case file which include, but are not limited to: - compensation claim forms - notifications of resolution of claims - industrial hygiene records - medical records - payroll files - radiological files - training records - neutron dose reconstruction - employment records	Temporary. Destroy when 250 years old.	DAA-0434-2020-0013-0007

Item	Records Description		Disposition Instruction	Disposition Authority
		- employee position descriptions - employee work schedules - investigatory records relating to on-the-job injuries - individual health care records and other medical information that could be used to determine whether exposures may have been a factor in illness Note: Claim case files on individuals are maintained by the organization that is responsible for submitting the claim to the EEOICPA Office through either the Secure Electronic Records Transfer (SERT) system or another means.		
140		Working Files The following records represent health compensation program working files, maintained separately from the final response file, which may include, but are not limited to: - drafts - reference materials - reference materials - file copies created and collected to process Health Compensation Programs claims and to prepare final response files	Temporary. Destroy when 3 years old.	DAA-0434-2020-0013-0008

Item	Records Description		Disposition Instruction	Disposition Authority
150		Control Files The following represent health compensation program control working files which could include, but not limited to: • finding aids • procedures • logs • reports • databases • statistical summaries	Temporary. Destroy 15 years after program completion or discontinuation.	DAA-0434-2020-0013-0009
160		Administrative Files Program administrative records include, but are not limited to: • implementation • reporting Program performance • routine correspondence • administrative memoranda	Temporary. Destroy when 3 years old.	DAA-0434-2020-0013-0010

Item	Records Description		Disposition Instruction	Disposition Authority
170	Secure Electronic Records Transfer (SERT) The SERT system is the host for collecting and reviewing Energy Employee Occupational Illness and Compensation Act (EEOICPA) claims of employees and former employees of DOE. The SERT system access is shared with the U.S. Department of Labor (DOL and the National Institute for Occupational Safety and Health (NIOSH). The system collects claimant requests and information needed to administer EEOICPA compensation claims, including information collected from DOL to establish the DOE employee case file. The Program information collected is used to identify the appropriate servicing DOL district office and/or the NIOSH office making the request. Claimant information is aggregated to support DOE business uses, such as statistical reporting for pending cases, overdue cases, number of claims, and timeliness of Program responses. Note: The documentation on the SERT <u>system</u> is scheduled under GRS 3.1, Item 011.	Claims data (metadata) include, but is not limited to: • SERT claim numbers • request dates • claimants' full names • social security numbers • dates of birth Claims data is utilized in reviewing and processing claims, generating pending and overdue case reports and preparing claims and response metrics.	Temporary. Destroy 15 years after program completion or discontinuation.	DAA-0434-2020-0013-0005
180		Claims support files include, but are not limited to: • official requests forms • letters and other supporting documentation of claimant names, social security numbers and dates of birth • final DOE request responses issued to DOL and NIOSH	Temporary. Destroy 60 days after download by recipient.	DAA-0434-2020-0013-0006

GENERAL RECORDS SCHEDULE (GRS) 2.4: Employee Compensation and Benefits Records

This schedule covers records Federal agencies create while conducting agency payroll functions (items 010-061) and while managing specific programs that offer employees monetary or other tangible benefits (items 070 to 141). See GRS 2.3 (Employee Relations Records) and GRS 2.7 (Employee Health and Safety Records) for other programs that provide intangible benefits, protections, or assistance to employees.

Most payroll is processed electronically. Agencies create payroll system input records both electronically and on paper (brought into the system by scanning). This schedule covers only versions the agency determines to be official payroll system records. GRS 5.2, item 020 (Intermediary records) covers paper documents for which the agency designates their equivalent electronic versions to be the record copies.

This schedule does not cover Office of Personnel Management files that reflect its own or other agencies' personnel needs and problems. Agencies must offer records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Payroll			
010	Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks. Includes: • additions to paychecks ○ child care subsidies ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) ○ other additions • deductions from paychecks ○ insurance ○ retirement accounts (e.g. Thrift Savings Plan, <i>my</i> Retirement Account, etc.) ○ flexible spending accounts, such as medical savings and dependent care assistance ○ union dues ○ Combined Federal Campaign ○ garnishments (IRS form 668A—Notice of Levy—and similar records) ○ Treasury bond purchases ○ other deductions • authorizations for deposits into bank accounts	Temporary. Destroy 3 years after paying agency or payroll processor validates data.	DAA-GRS-2019-0004-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	- changes or corrections to previous transactions either at paying agency or payroll processor - Fair Labor Standards Act exemption worksheets		
020	Tax withholding and adjustment documents. Employee withholding allowance certificates such as Internal Revenue Service (IRS) W-4 series forms and state equivalents, and records of fringe benefits and expense reimbursements provided to employees. Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.	Temporary. Destroy 4 years after superseded or obsolete.	DAA-GRS-2016-0015-0002
030	Time and attendance records. SUPERSEDED by DOE 2.4, items 020, 025, or 030. ~~Sign in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.~~ Legal citation: ~~29 CFR 516.5a~~	Temporary. ~~Destroy when 3 years old, but longer retention is authorized if required for business use.~~	DAA-GRS-2019-0004-0002
035	Phased-retirement employees' overtime documentation. (FEDERAL ONLY) Records documenting ordering or permitting phased-retirement employees to work overtime. Legal citation: 5 CFR 831.1715, section 4	Temporary. Destroy when 6 years old.	DAA-GRS-2018-0001-0001
040	Agency payroll record for each pay period. SUPERSEDED by DOE 2.4, item 010 for Employee Payroll records for each pay period. ~~Aggregate records documenting payroll disbursed in each pay period: base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.~~ Legal citation: 5 U.S.C. 8466	Temporary. ~~Destroy when 56 years old.~~	~~DAA-GRS-2016-0015-0004~~

Item	Records Description		Disposition Instruction	Disposition Authority
050	Wage and tax statements. Agency copies of IRS form W-2 (Wage and Tax Statement, IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents. Legal citations: Form W-3, Purpose of Form section states, “The IRS recommends retaining copies of these forms for four years.” Agencies attach their copies of form W-2 to form W-3. IRS Publication 15 (2014), (Circular E), Employer's Tax Guide, section on Recordkeeping (copies of returns filed and confirmation numbers).		Temporary. Destroy when 4 years old.	DAA-GRS-2016-0015-0005
060	Payroll program administrative records. Records produced in administering and operating payroll functions of a general nature and not linked to an individual employee’s pay.	Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.	Temporary. Destroy when 2 years old.	DAA-GRS-2016-0015-0006
061		Payroll system reports providing fiscal information on agency payroll.	Temporary. Destroy when 3 years old.	DAA-GRS-2023-0004-0001
Compensation and Benefits Administrative Program Records				
070	Donated leave program administrative records. Records related to managing the program, including: • records of leave bank management • records of leave bank governing board award decisions • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation		Temporary. Destroy when 3 years old.	DAA-GRS-2016-0015-0008

Item	Records Description	Disposition Instruction	Disposition Authority
071	Donated leave program individual case files. Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.	Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program.	DAA-GRS-2016-0015-0009
080	Wage survey files. Periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System and records related to conducting these surveys.	Temporary. Destroy 7 years after survey completion.	DAA-GRS-2023-0004-0002
090	Incentive package records. (FEDERAL ONLY) DOE NOTE: Contractors utilize DOE 2.2, item 030 Contractor Employee Personnel File for employment agreements, recruitment, relocation, employee awards, and retention incentive packages. Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.	Temporary. Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later.	DAA-GRS-2016-0015-0011
100	Workers' Compensation (personnel injury compensation) records. ~~Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:~~ ~~forms, reports, correspondence, claims~~ ~~medical and investigatory records~~ ~~administrative determinations or court rulings~~	~~Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.~~ SUPERSEDED by DOE 2.4, item 100 for Workers Compensation (personal injury compensation) records and DOE 2.7, item 110 for Individual Employee Occupational Illness/Injury Case File.	~~Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.~~ DAA-GRS-2016-0015-0012

Item	Records Description		Disposition Instruction	Disposition Authority
101	• ~~payment records~~ Exclusion 1: Copies filed in the Employee Medical Folder. Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.	~~Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.~~ SUPERSEDED by DOE 2.4, item 100 for Workers Compensation (personal injury compensation) records and DOE 2.7, item 110 for Individual Employee Occupational Illness/Injury Case File.	~~Temporary.~~ Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.	DAA-GRS-2016-0015-0013
110	Requests for health benefits under spouse equity. (FEDERAL ONLY) Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.	Successful applications, including those denied and successfully appealed.	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.	
111		Denied applications.	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.	DAA-GRS-2016-0015-0014
120	Child care subsidy program administrative records. Records related to managing the program, including: • determining amount of subsidy available to employees • verifying child care centers' accreditation • tracking funds disbursed to individual child care centers • publicity and program announcements • statistical and narrative reports • similar records not linked to individual employee participation		Temporary. Destroy when 3 years old.	DAA-GRS-2016-0015-0015

Item	Records Description	Disposition Instruction	Disposition Authority
121	Child care subsidy program individual case files. Case files of individual employee participation in child care subsidy programs, such as: • enrollment documentation • applications and supporting documents • eligibility verification (employment, proof of income) • records of other subsidies the employee received • agreements between agencies and employees • notice of approval or denial of participation in program • child care provider information	Temporary. Destroy 2 years after employee participation concludes.	DAA-GRS-2016-0015-0016
130	Transportation subsidy program administrative records. Records related to managing the program, including: • determining subsidy amount available to employees • publicity and program announcements • records of program-wide benefit delivery and receipt • statistical and narrative reports • similar records not linked to individual employee participation	Temporary. Destroy when 3 years old.	DAA-GRS-2016-0015-0017
131	Transportation subsidy program individual case files. Case files of individual employee participation in transportation subsidy programs, such as: • applications and supporting documents • eligibility verification • notice of approval or denial of participation in program • participant training documentation • periodic estimates of transit expenses • record of individual benefit delivery and receipt • de-enrollment documents • settlement of outstanding debts by employee or Government when employee leaves program	Temporary. Destroy 2 years after employee participation concludes.	DAA-GRS-2016-0015-0018

Item	Records Description	Disposition Instruction	Disposition Authority
140	Family Medical Leave Act program administrative records. Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation. Legal citation: 29 CFR 825.500	Temporary. Destroy 3 years after superseded or obsolete.	DAA-GRS-2016-0015-0019
141	Family Medical Leave Act program individual case files. Includes: • employee eligibility to participate in program • eligibility notice given to employee • notice of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them • medical certifications • employee identification data • records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid • leave request, approval/non-approval • leave records • records of premium payments of employee benefits • records of disputes between employers and eligible employees regarding designation of leave as FMLA leave • periodic reports of employee status and intent to return to work Legal citation: 29 CFR 825.500	Temporary. Destroy 3 years after conclusion of leave being taken.	DAA-GRS-2016-0015-0020