



DOE Records Disposition Schedules

Transmittal 04

***Attachment 1 –
DOE Records Disposition Schedules
and
Modified General Records Schedules***

U.S. Department of Energy
Records Disposition Manual
October 2021

Table of Contents

DEPARTMENT OF ENERGY (DOE) 1.1: Financial Management and Reporting Records	3
GENERAL RECORDS SCHEDULE (GRS) 1.1: Financial Management and Reporting Records	7
DEPARTMENT OF ENERGY (DOE) 1.2: Grant and Cooperative Agreement Records.....	18
GENERAL RECORDS SCHEDULE (GRS) 1.2: Grant and Cooperative Agreement Records	24
DEPARTMENT OF ENERGY (DOE) 1.3: Budgeting Records	28
GENERAL RECORDS SCHEDULE (GRS) 1.3: Budgeting Records.....	31
DEPARTMENT OF ENERGY (DOE) 2.1: Employee Acquisition Records	35
GENERAL RECORDS SCHEDULE (GRS) 2.1: Employee Acquisition Records	36
DEPARTMENT OF ENERGY (DOE) 2.2: Employee Management Records	45
GENERAL RECORDS SCHEDULE (GRS) 2.2: Employee Management Records.....	46
GENERAL RECORDS SCHEDULE (GRS) 2.3: Employee Relations Records	53
DEPARTMENT OF ENERGY (DOE) 2.4: Employee Compensation and Benefits Records	60
GENERAL RECORDS SCHEDULE (GRS) 2.4: Employee Compensation and Benefits Records	62
GENERAL RECORDS SCHEDULE (GRS) 2.5: Employee Separation Records.....	70
DEPARTMENT OF ENERGY (DOE) 2.6: Employee Training Records.....	74
GENERAL RECORDS SCHEDULE (GRS) 2.6: Employee Training Records	77
DEPARTMENT OF ENERGY (DOE) 2.7: Employee Health and Safety Records.....	80
GENERAL RECORDS SCHEDULE (GRS) 2.7: Employee Health and Safety Records	82
GENERAL RECORDS SCHEDULE (GRS) 2.8: Employee Ethics Records.....	92

DEPARTMENT OF ENERGY (DOE) 1.1: Financial Management and Reporting Records

Financial Management and Reporting Records documenting the procurement of goods and services, bill paying, debt collection, accounting for financial transactions, monitoring agencies' net worth, pension, and insurance.

Note: Refer to GRS 1.1 for all other Financial Management and Reporting records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Contractor Pension Case Files</p> <p>Pension plan case files for contractors that includes, but are not limited to:</p> <ul style="list-style-type: none"> • pension plans • modifications, and amendments 	<p>Continuing Obligation</p> <p>Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.</p>	<p>Temporary. Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.</p>	DAA-0434-2020-0006-0001
020	<ul style="list-style-type: none"> • correspondence • reports • studies, and analyses • negotiations • DOE requirements for acceptance and modification • funding and cost data • industry pension plan comparability studies 	<p>No Continuing Obligation</p> <p>Cases for which DOE has no continuing obligations for liability after contract completion or termination.</p>	<p>Temporary. Cut off annually in year contract completed or terminated. Destroy 6 years after cutoff.</p>	DAA-0434-2020-0006-0002
EPI				
030	<p>Casualty Insurance Case Files</p> <p>Casualty insurance plan case files that consist of casualty insurance coverage plans; including, but not limited to:</p> <ul style="list-style-type: none"> • policies • endorsements • reports • correspondence 		<p>Temporary. Cut off annually in year contract completed or terminated. Destroy 80 years after cutoff.</p>	DAA-0434-2020-0006-0003

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • studies • analyses • actuarial data and computations • Information showing premium adjustments, coverage, funding, billing and losses incurred <p>Note: Includes both cases assigned to or administered by DOE upon contract completion or termination and cases for which DOE has no obligation or liability after contract completion or termination.</p>		
040	<p>Unique Procurement Files</p> <p>Procurement files, including, but not limited to procurement and grant files that:</p> <ul style="list-style-type: none"> • document the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs • new technology on alternative energy sources or the innovative application of technology to reduce energy dependencies <p>Note: Exclusion to GRS 1.1, Item 010, which excludes procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.</p>	<p>Permanent. Cut off at procurement completion or transaction completion. Transfer to NARA 25 years after cutoff.</p>	DAA-0434-2020-0006-0004
050	<p>Debarment <u>Investigation</u> Case Files</p> <p>Consists of documents relating to <u>investigations</u> of contractors or grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE.</p> <p>The case files include, but are not limited to:</p> <ul style="list-style-type: none"> • Inspector General reports • attorney recommendations for action • suspension notifications • hearing transcripts • briefs and motions 	<p>Temporary. Cut off when case closed, the debarment period or voluntary exclusion period is closed, whichever is later. Destroy 6 years after cutoff.</p>	DAA-0434-2020-0006-0005

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • final determinations and settlement agreements for debarment and for suspension cases • other related records, including correspondence <p>Note: Exclusion to GRS 1.1, Items 070 and 071 as these do not cover investigation case files.</p> <p>Citations: 48 CFR Federal Acquisition Regulations System, Part 9 Contractor Qualifications 48 CFR Subpart 9.4 <i>Debarment, Suspension, and Ineligibility</i> 10 CFR 606 Government-wide Debarment and Suspension 48 CFR 909.403 Definitions</p>		
060	<p>Research Development, and Demonstration (RD&D) Financial, Contractual and Procurement Records</p> <p>Contracts, Grants, Cooperative Agreements, and Technical Investment Agreements related to Research Development, and Demonstration (RD&D) services. This applies to all RD&D subawards and laboratory technology transfer agreements (e.g., Cooperative Research and Development Agreement (CRADAs), Strategic Partnership Project (SPPs), and Agreements for Commercializing Technology (ACTs). Records include, but are not limited to:</p> <ul style="list-style-type: none"> • contracts, agreements, and specifications • purchase orders • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations, or proposals • proposals, quotations, and bids (accepted and unsuccessful/rejected) • invoices • legal, financial, and budget records • documentation of contractual requirements submitted by contractors such as progress reports and final technical reports • correspondence and papers pertaining to award, administration, receipt, inspection of payment for goods and services in this list • related service agreements and accompanying instructions, technical procedures, and study protocols 	<p>Temporary. Destroy 20 years after final payment.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Note: DOE defines final payment as final payment AND contract completion documentation to meet the FAR requirements for contract close-out.</p> </div>	DAA-GRS-2013-0003-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • copies of records documenting invention and patent contractual requirements and intellectual property provisions <ul style="list-style-type: none"> ○ certifications, including Patent and Invention Certifications ○ Patent Clearance Records ○ Patent Responsibility Letters • copies of records and waivers related to U.S. manufacturing requirements <p>Note 1: GRS 1.1, item 010 allows for longer retention for business use. RD&D contracts and procurement records are needed for a longer period due to the nature of the contracts.</p> <p>Note 2: Utilize DOE 1.1, item 040 for procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances that have permanent value.</p> <p>Note 3: See DOE 1.1 FAQs regarding contract clauses used in RD&D contracts. The list of current DOE Intellectual Property Provisions are available at https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards.</p> <p>Note 4: There are likely records created, maintained, or utilized by multiple organizations and may contain many records in common, but are retained to document different business functions. Therefore, some of the records that may be filed within the contract file, may also need to be retained under a different schedule. Examples include, but are not limited to, intellectual property, patent, and invention records.</p>		

GENERAL RECORDS SCHEDULE (GRS) 1.1: Financial Management and Reporting Records

This schedule covers records created by Federal agencies in carrying out the work of financial management: procuring goods and services, paying bills, collecting debts, accounting for all financial transactions, and monitoring agencies' net worth. It does not apply to copies of records forwarded to the Department of Treasury or the Office of Management and Budget in fulfillment of reporting requirements. These forwarded copies serve unique business purposes at those agencies and are therefore scheduled separately as records of OMB and Treasury.

This schedule covers financial management records of grants and cooperative agreements but does not cover administrative records of such grants and agreements. These administrative records are covered in GRS 1.2.

This schedule covers financial transactions and reporting but not overall planning for finance. These records are covered under GRS 1.3.

This schedule covers contract records maintained by Federal agencies but not records maintained by contractors, which are governed by 48 CFR 4, subpart 4.7.

This schedule covers financial transactions as an administrative function common to all agencies, but not administrative records documenting unique agency missions, such as student loan collection or seeking reimbursement for Superfund cleanups.

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 to and Ownership of Records Clause, the 48 CFR 4, Subpart 4.7 does not apply. The Access to and Ownership requires Government and Contractor-owned records to be scheduled in accordance with the NARA-approved Records Disposition Schedules' therefore, GRS 1.1 would apply to contractor-owned records in this instance.

Item	Records Description	Disposition Instruction	Disposition Authority
001	<p>Financial management and reporting administrative records.</p> <p>Records related to managing financial activities and reporting. Records include:</p> <ul style="list-style-type: none"> • correspondence • subject files • feeder reports • workload management and assignment records 	<p>Temporary.</p> <p>Destroy when 3 years old, but longer retention is authorized if</p>	DAA-GRS-2016-0013-0001

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
		needed for business use.	
010	<p>Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.</p> <p>Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.</p> <p>Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.</p> <p>Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients.</p> <p>Procurement and payment records include those such as:</p> <ul style="list-style-type: none"> • contracts • requisitions • purchase orders • interagency agreements 	<p>Official record held in the office of record.</p> <p>Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0001</p>
011	<ul style="list-style-type: none"> • Military Interdepartmental Purchase Requests (MIPRs) • printing requisitions to the Government Printing Office • memoranda of agreement specifying a financial obligation • solicitations/requests for bids, quotations or proposals for contracts and competitive grants • proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants • contingent fee justifications 	<p>All other copies. Copies used for administrative or reference purposes</p> <p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2013-0003-0002</p>

Note: DOE defines final payment as final payment AND contract completion documentation to meet the FAR requirements for contract close-out.

DOE Business Use: Destroy when 1 year old.

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • legal and financial instruments such as bond and surety records • FAIR Act (A-76) records linked directly to specific procurement actions • credit card/purchase card/charge card statements and supporting documentation • vendor tax exemption records • invoices • leases • recurring financial transactions such as utility and communications invoices • documentation of contractual administrative requirements submitted by contractors such as status reports • correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list • records of financing employee relocations <p>Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:</p> <ul style="list-style-type: none"> • records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including: <ul style="list-style-type: none"> ○ cash register transaction records ○ credit card and charge cards receipts ○ records documenting deposits ○ records documenting allocation of fees to funds/accounts ○ deposit lists and logs ○ customer orders ○ revolving fund records <ul style="list-style-type: none"> • fee and fine collection records • garnishments 		

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • sale of excess and surplus personal property • fee or rate schedules and supporting documentation • out-leases of Federal property • debt collection files and cash receipts • writeoffs • copies of checks • payment billing coupons • letters from lenders • payment records • money orders • journal vouchers • collection schedules <p>Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency’s resource allocation priorities. Accounting records include those such as:</p> <ul style="list-style-type: none"> • accountable officers’ records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians. Includes: <ul style="list-style-type: none"> ○ statements of transactions ○ statements of accountability ○ collection schedules and vouchers ○ disbursement schedules and vouchers • vouchers • certificates of closed accounts • certificates of periodic settlements • general funds files 		

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • general accounting ledgers • appropriation, apportionment, and allotment files • posting and control files • bills of lading • transportation and travel requests, authorizations, and vouchers • commercial freight vouchers • unused ticket redemption forms <p>Legal citation: 28 U.S. Code 2401(a)</p> <p>Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.</p> <p>Note 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government’s role as trustee of property held by the Government and managed for the benefit of Indians.</p> <p>Note 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.</p> <p>Note 4: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying this disposition authority.</p>		

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
012	<p>Bids and proposals neither solicited nor accepted. Bids and proposals that are both unsolicited and the subject of no further agency action.</p>	<p>Temporary. Destroy when no longer required for business use.</p> <div style="border: 2px solid red; padding: 5px; width: fit-content; margin: 10px auto;"> <p>DOE Business Use: Destroy when 1 year old.</p> </div>	<p>DAA-GRS-2016-0001-0001</p>
020	<p>Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as:</p> <ul style="list-style-type: none"> • schedules and reconciliations prepared to support financial statements • documentation of decisions re accounting treatments and issue resolutions • audit reports, management letters, notifications of findings, and recommendations • documentation of legal and management representations and negotiations • correspondence and work papers • interim, quarterly and other reports 	<p>Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0011</p>
030	<p>Property, plant and equipment (PP&E) and other asset accounting. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:</p> <ul style="list-style-type: none"> • purchase orders and contracts 	<p>Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's</p>	<p>DAA-GRS-2013-0003-0004</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • invoices • appraisals • costing and pricing data • transactional schedules • titles • transfer, acceptance and inspection records • asset retirement, excess and disposal records • plant account cards and ledgers pertaining to structures • correspondence and work papers <p>Exclusion: Records concerning a historically significant structure or other stewardship assets (for instance, the structure appears on the National Register of Historic Places), are not authorized for disposal. Agencies must submit a records schedule to NARA to cover these records or apply an existing schedule.</p>	financial statement, but longer retention is authorized if required for business use.	
040	<p>Cost accounting for stores, inventory, and materials. Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as:</p> <ul style="list-style-type: none"> • invoices or equivalent papers used for inventory accounting purposes • inventory accounting returns and reports • working files used in accumulating inventory accounting data • plant account cards and ledgers, other than those pertaining to structures • cost accounting reports and data • depreciation lists/costs • contractor cost reports re contractor-held-government-owned materials and parts • receiving, inspection, and acceptance documentation 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0003-0012

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Item	Records Description	Disposition Instruction	Disposition Authority
050	<p>Construction contractors' payroll files. Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</p> <div data-bbox="919 500 1570 732" style="border: 2px solid red; padding: 5px; margin: 10px auto; width: fit-content;"> <p>New DOE records disposition schedule submitted to NARA to replace GRS 2.4, item 040, ADM 2.1c and N1-434-98-1, item 20a(1) (in part) and N1-434-98-1, item 20a(2) (in part). Maintain as Unscheduled until approved by NARA</p> </div>	<p>Temporary. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2013-0003-0003</p>
060	<p>Contract appeals case files. Records of contract appeals arising under the Contracts Dispute Act. Includes:</p> <ul style="list-style-type: none"> • notice of appeal • acknowledgment of notice • correspondence • copies of contracts, plans, specifications, exhibits, change orders, and amendments • hearing transcripts • documents received from concerned parties • final decisions • other related papers 	<p>Temporary. Destroy 1 year after final resolution, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0001-0003</p>

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Item	Records Description	Disposition Instruction	Disposition Authority	
070	Vendor and bidder information. Documentation of approved, suspended, and debarred vendors and bidders.	Records of suspensions and debarments for violation of the Drug-Free Workplace Act. <div style="border: 2px solid red; padding: 5px; width: fit-content; margin: 10px auto;"> Utilize DOE 1.1, Item 050 for Debarment Investigation Case files (specific cases). </div>	Temporary. Destroy 5 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0004
071		Records of all other suspensions and debarments and all approved vendors and bidders. <div style="border: 2px solid red; padding: 5px; width: fit-content; margin: 10px auto;"> Utilize DOE 1.1, Item 050 for Debarment Investigation Case files (specific cases). </div>	Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.	DAA-GRS-2016-0001-0005
080	Administrative claims by or against the United States. Records of monetary or property claims <i>by</i> the United States subject to the Federal Claims Collection Standards, completed or closed by: <ul style="list-style-type: none"> • payment in full • compromise agreement • termination of collection action • determination that money or property is not owed to the United States • approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee or a member or former member of the uniformed services or the National Guard • lifting of court order 	Temporary. Destroy 7 years after final action, but longer retention is authorized if required for business use.	DAA-GRS-2017-0005-0001	

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Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Also, records of monetary claims <i>against</i> the United States, completed or closed by:</p> <ul style="list-style-type: none"> • disallowance in full • allowance in full or in part with final payment awarded • settlement, compromise, or withdrawal • lifting of court order <p>Legal Citations: 31 CFR 900-904 28 U.S.C. 2401 28 U.S.C. 2415(a) 31 U.S.C. 3716(c) 31 U.S.C. 3716(e)</p>		
090	<p>Government purchase card and travel credit card application and approval records. Applications by employees for Government credit cards issued in card-holder's name, whether for official travel expenses or for purchasing goods and services. May include:</p> <ul style="list-style-type: none"> • application for credit card • credit release form • applicant credit report • cardholder agreement • acknowledgement of responsibilities and penalties for misuse • approving official agreement • certificate of appointment (warrant) • card training certificate 	<p>Temporary. Destroy upon card holder separation or when card is returned to office and destroyed, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0003-0001
100	<p>Small and Disadvantaged Business Utilization records. Records maintained by offices of Small and Disadvantaged Business Utilization (offices of Small Business Programs in the Department of Defense) established pursuant to the Small Business Act (15 U.S.C. 644(k), as supplemented). Includes:</p>	<p>Temporary. Destroy when 3 years old, but longer retention is</p>	DAA-GRS-2018-0003-0002

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • inquiries or assistance requests from industry or the general public regarding small business contracting, subcontracting, or other funding opportunities • materials negotiating and promoting small business contracting goals • records of outreach events such as workshops, conferences, specialized vendor outreach sessions, and award ceremonies • event evaluations, surveys, and other customer feedback • reviews of proposed agency acquisitions for bundling and small business contracting opportunities • spending management and goals • forecasting and studies • subcontracting and performance reports • data reported to and gathered from central reporting systems <i>[Note: the systems are scheduled by their owners, not the GRS]</i> • program director’s recommendations to contracting officers regarding awards • complaints and responses to them • Small Business Administration requests or recommendations regarding set-aside of contracts or requirements or changes in acquisition strategies • records documenting receipt and referral of unsolicited proposals or small business capability statements containing proprietary or confidential contractor information • communications with the Small Business Administration Enforcement Ombudsman, per Public Law 104-121, section 30(b)(2) • correspondence 	<p>authorized if required for business use.</p>	

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DEPARTMENT OF ENERGY (DOE) 1.2: Grant and Cooperative Agreement Records

This schedule covers records created for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by DOE or GRS 1.1, Financial Management and Reporting Records.

This schedule also covers work for others performed by DOE contractor personnel for Federal, State and local government entities, non-Government/non-profit entities, universities and privately-held corporations. This work is not directly funded by DOE, but is authorized by and administered by DOE. As well as, Cooperative Research and Development Agreements (CRADAs) and Cost Sharing Agreements. CRADAs provide industry access to commercially valuable technology in a variety of disciplines. Intellectual property rights to inventions developed as a result of CRADA research maybe shared with the industry partner.

Note: Refer to GRS 1.2 for all other Grant, Cooperative Agreement or Work for Others records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Grants			
010	<p>Grant and Cooperative Agreement Program Administration Records</p> <p>Policy records documenting the establishment, goals, objectives, development, implementation, modification and termination of grants, cooperative agreement, Cooperative Research and Development Agreements (CRADAs), cost sharing agreements and work for others programs.</p> <p>Note: Exclusion to GRS 1.2, item 010</p>	<p>Temporary. Cut off when superseded or obsolete. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0009</p>
Cooperative Agreements			

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Funded Cooperative Agreements (Superfund Projects) Records</p> <p>Complete site-specific files and project records containing documentation of costs incurred, site specific costs to be tracked by site, activity, and operative unit, and systems which provide sufficient documentation for cost recovery purposes if the requirements are the same. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • property records, procurement, time and attendance records and supporting documentation • compliance documentation pertaining to statutes and regulations that apply to the project • site-specific technical hours spent to complete each pre-remedial product • records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(1)(1) and 31.42(e) • financial and programmatic records, supporting documentation, including correspondence, statistical records, and other records which are required by 40 CFR 35.6700, program regulations, or the cooperative agreement, or are otherwise reasonably considered as pertinent to program regulations or the cooperative agreement <p>Note: Deviation to GRS 1.2, Item 020, as 40 CFR 35.6700 requires EPA award official approval prior to destruction for CERCLA funded cooperative agreements.</p> <p>Citations:</p> <p>40 CFR Protection of Environment:</p> <ul style="list-style-type: none"> • 40 CFR 35.6700 <i>Project Records</i> • 40 CFR 35.6705 <i>Records retention</i> • 40 CFR 31.36(l)(1) • 40 CFR 31.42(e) 	<p>Temporary. Cut off after submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery, or other actions, whichever is later. Destroy 10 years after cutoff.</p> <p>Note: Written approval must be obtained from the EPA award official before destroying any records (40 CFR 35.6700)</p>	DAA-0434-2020-0007-0002

Item	Records Description	Disposition Instruction	Disposition Authority	
Work for Others				
030	<p>Work for Others – Agreement/Contract for Services Case File</p> <p>Agreement executed by DOE, contractor and the requesting Federal, State, local, domestic or private organization. Agreements stipulate contract length, provisions, articles, clauses, and other related matters. Files would include subcontract agreements signed between contractor and subcontractors to perform a specific work scope in support of the larger contract. Case file includes pre-decisional, formal review, project review and approval, project performance and project deliverables records.</p>	Approved by DOE.	Temporary. Cut off at termination of agreement. Destroy 10 years after cutoff.	DAA-0434-2020-0007-0003
040	<p>Agreement executed by DOE, contractor and the requesting Federal, State, local, domestic or private organization. Agreements stipulate contract length, provisions, articles, clauses, and other related matters. Files would include subcontract agreements signed between contractor and subcontractors to perform a specific work scope in support of the larger contract. Case file includes pre-decisional, formal review, project review and approval, project performance and project deliverables records.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • capability statements; informal, preliminary, or pre-decisional planning documents and correspondence • formal, written reviews submitted after pre-decisional case is accepted by DOE • work statements, budget estimates, resource requirements, verification of compliance to applicable requirements, requesting agency or entity information regarding use of DOE facilities and/or contractors, verification of adherence to 	Terminated prior to formal review process or denial.	Temporary. Cut off after termination or denial. Destroy 5 years after cutoff.	DAA-0434-2020-0007-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>applicable laws and regulations; and statements no direct competition with domestic or private sector parties</p> <ul style="list-style-type: none"> • work and funding acceptance records, including cost rate structure, written reimbursement agreement, and other related funding and acceptance documentation • performance records that include such deliverables as correspondence, monthly financial status and billing reports, monthly and quarterly status reports, written notification of cost overruns and requests for supplemental funding, and other related documentation • project deliverables • property, equipment, or system records, including disposition 		
Cooperative Research and Development Agreements (CRADAs) and Cost-Sharing Agreements			
050	<p>Cooperative Research and Development Agreements (CRADAs) / Cost-Sharing Project Case Files</p> <p>CRADA projects from initiation to completion, or termination. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • proposals • project planning and justification • start-up reports and correspondence • budgetary documentation 	<p>Temporary. Cut off at project completion or termination. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • monthly, quarterly and yearly status reports • technical data and studies • partnership meeting minutes • implementing policies and procedures • non-disclosure agreements • presentation materials 		
060	<p>Cooperative Research and Development Agreement (CRADA) Products, Services, Marketing and Promotional Records</p> <ul style="list-style-type: none"> • marketing research records including written questionnaires, phone survey reports, financial and product trend analysis and other related record • products, services, marketing, and promotional records including newsletters, brochures, catalogs, pamphlets, conference contact lists, posters, articles-and photos published in national trade journals and magazines, customer/consumer referrals • client, media or public mailing lists 	Temporary. Cut off annually. Destroy 5 years after cutoff.	DAA-0434-2020-0007-0006
070	<p>Cooperative Research and Development Agreement (CRADA) Licensing and Collaborative Agreement and Cost-Sharing Agreements</p> <p>Agreements executed by a DOE contractor and an industry partner, following approval by DOE. Contract agreement stipulates financial resources allocated by industry partner for the furtherance of specific research programs on behalf of the industry partner. Records include, but are not limited to:</p> <ul style="list-style-type: none"> • intellectual property rights • retention and protection of sensitive information resulting from research • contractual components such as contract length provisions, articles, and clauses <p>Note: Deviation to GRS 1.2, item 030 (Note 2) requires an agency schedule for final product or deliverable of grant or cooperative agreement records with a permanent retention.</p>	Permanent. Cut off at termination of agreement. Offer to NARA 25 years after cutoff.	DAA-0434-2020-0007-0007

Item	Records Description	Disposition Instruction	Disposition Authority
080	<p>Technology Transfer Conflict of Interest – Annual Certification</p> <p>Technology Transfer Conflict of Interest Records are records created and maintained for the purpose of identifying and avoiding employee, consultant, and organizational conflicts of interest in technology transfer activities, and to ensure that the technology transfer process is fairly applied in accordance with applicable laws, regulations and policies and procedures.</p>	<p>Temporary. Cut off at contract or agreement termination. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0007-0008</p>

GENERAL RECORDS SCHEDULE (GRS) 1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government’s direct benefit or use.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
010	<p>Grant and cooperative agreement program management records. Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <ul style="list-style-type: none"> • background files <ul style="list-style-type: none"> ○ Program Announcements ○ Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices ○ Requests for Proposals • application packages (blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity) 	<p>Temporary. Destroy 3 years after final action is taken on the file, but longer retention is authorized if</p>	<p>DAA-GRS-2013-0008-0007</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Title/Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> application evaluation files (panel composition, correspondence, instructions, etc. for a specific funding opportunity) <p>Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p>Exclusion 2: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p>required for business use.</p> <div style="border: 2px solid red; padding: 5px;"> <p>See DOE 1.2, Item 070 regarding "Note"</p> <p>Exclusion 1: Utilize DOE 1.2, Item 010 for Program records related to grants, cooperative agreements, CRADAS and work for others.</p> </div>		
020	<p>Grant and cooperative agreement case files. Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <ul style="list-style-type: none"> applications, forms, and budget documents evaluation reports, panelist comments, review ratings or scores Notice of Grant Award or equivalent and grant terms and conditions state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which 	<p>Successful applications.</p> <p>Note: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>	<p>Temporary. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.</p>	DAA-GRS-2013-0008-0001

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	the State receives funding) <ul style="list-style-type: none"> • funding amendment requests and actions, if any • periodic and final performance reports (progress, narrative, financial) • audit reports and/or other monitoring or oversight documentation • summary reports and the like 		
021	Legal citation: 31 U.S.C. 3731(b), False Claims Act	Utilize DOE 1.2, Item 020 for CERCLA-Funded Cooperative Agreement Records.	
022		Unsuccessful applications.	Temporary. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.
023	All other copies. Copies used for administrative or reference purposes.	Temporary. Destroy when business use ceases.	DAA-GRS-2013-0008-0006 DAA-GRS-2013-0008-0002
030	Final grant and cooperative agreement products or deliverables.	Temporary. Destroy when	DAA-GRS-2013-0008-0003

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Title/Description	Disposition Instruction	Disposition Authority
	<p>The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:</p> <ul style="list-style-type: none"> • report, study, or publication • conference paper and/or presentation • book, journal article, or monograph • training material, educational aid, or curriculum content • plan, process, or analysis • database or dataset • audio, video, or still photography • website content or other Internet component • documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype) • software or computer code <p>Note 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p>Note 2: If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p> <div style="border: 1px solid red; padding: 5px; margin-top: 20px; text-align: center;"> <p>Utilize DOE 1.2, Item 070 for grant and cooperative agreements that warrant permanent retention.</p> </div>	<p>business use excludes:</p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p>DOE Business Use: Destroy when 1 year old.</p> </div>	

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

DEPARTMENT OF ENERGY (DOE) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Note: Refer to DOE and GRS 1.1 (Financial Management and Reporting Records) for related records and GRS 1.3 for all other budgeting records not addressed in this schedule

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)</p> <p><i>Budget Policy Files.</i> Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.</p> <p><i>Staffing and Budget Submission Files.</i> Consisting of department-wide (or for substantive programs) staffing and budget submissions and related papers, markups, and congressional hearings reflecting all phases of the budget process from the budget call through the internal review process to the Office of Management and Budget and congressional submissions. Includes appeals, supplemental requests, rescissions and deferrals and executions. Records include, but are not limited to: estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs. Records documenting substantive programs.</p> <p>Note 1: Typically, these would be for records generated/maintained at DOE Headquarters.</p> <p>Note 2: Deviation to GRS 1.3, Item 010, which only applies to agencies that submit their budget requests via OMB. Prior to fiscal year 2017 DOE did not submit budget request via OMB</p>	<p>Permanent. Cut off at close of fiscal year or project completion. Transfer to NARA 25 years after cutoff.</p>	<p>DAA-0434-2020-0008-0001</p>
		<p>Utilize GRS 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal Year 2017 and forward.</p>	
020	<p>Agency Budget Policies, Estimates and Correspondence Files (Prior to 2017)</p>	<p>Temporary. Cut off at close of fiscal year.</p>	<p>DAA-0434-2020-0008-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p><i>Budget Policy Files.</i> Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.</p> <p>Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs. Records documenting non-substantive programs.</p> <p>Note: Deviation to GRS 1.3, Item 010, which only applies to agencies that submit their budget requests via OMB. Prior to fiscal year 2017 DOE did not submit budget request via OMB.</p>	<p>Destroy 6 years after cutoff.</p>	<p>Utilize GRS 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence for Fiscal Year 2017 and forward.</p>
030	<p>Baseline Management</p> <p>Records generated to document facility project activities', technical scope, project schedule, and cost. Deviations from the baseline are documented and approved or disapproved in baseline change proposals.</p>	<p>Temporary. Cut off at close of the fiscal year or at project completion. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0008-0003</p>
040	<p>Project Control / Project Management Records</p> <p>Records that support the organizing, planning and tracking of projects during the course of project execution; project performance reporting, records documenting assignments, progress and completion of projects.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • fiscal year work plans • integrated planning, accountability and reporting system (IPABS) • project assessment and reporting (PARS) • monthly project reviews (MPR) • quarterly project reviews (QPR) • project review files and associated corrective actions • critical decision package(s) and approvals • project execution plans (PEP) 	<p>Temporary. Cut off at project completion, closure or key performance parameters have been met. Destroy 10 years after cutoff.</p>	<p>DAA-0434-2020-0008-0004</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • integrated project team (IPT) charter • project acquisition strategy • tailoring strategy • risk management plan • initial and final project close out reports • earned value management system (EVMS) surveillance reports and corrective action plans <p>Note: Specific project records may also be maintained within the Environmental Case File</p>		

GENERAL RECORDS SCHEDULE (GRS) 1.3: Budgeting Records

Budgeting involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to the Office of Management and Budget (OMB) and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill, properly using funds throughout the period of time covered by the agency's appropriations.

Agencies create budget records at all organizational levels. Single operating units at all levels create detailed working papers and budget statements. Bureau- or equivalent-level agency units consolidate these detailed work papers and budget statements into submissions and forward them to the agency or department budget officer, who finalizes and submits them to the White House on behalf of the entire agency or department. This schedule covers records an agency creates in both types of units: (1) offices that prepare and manage an entire agency's budget and submit it to the Office of Management and Budget for consideration by the President, and (2) local offices that request program funding and track expenses under their own approved budgets.

Related schedule: An agency reflects its controls over appropriated funds in its expenditure accounting records and detailed expenditure information in the accountable officers' records, both covered under GRS 1.1 (Financial Management and Reporting Records), item 010.

This schedule does not apply to records OMB and the Department of the Treasury create and hold that document the Government-wide Federal budget. It *does* apply to OMB's and Treasury's own agency and departmental budget records. The Federal budgeting process as we know it dates from when Congress established the Bureau of the Budget (forerunner of OMB) in 1921. While it is unlikely that agency budget records exist from prior to that date, users should note that agencies must offer budget records they created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before they apply disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Records created and held by offices that prepare an agency's budget proposal for the White House			

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Includes records such as:</p> <ul style="list-style-type: none"> • guidance and briefing materials • agency or department copy of final submission to OMB and Congress • narrative statements justifying or defending estimates (sometimes called “Green Books”) • briefing books and exhibits • language sheets and schedules • OMB and Congress pass-back responses and questions; agency appeals, responses, and answers • testimony at, and other agency records of, Congressional hearings • final settlement or approved appropriation <p>Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.</p>	<p>Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p> <div style="border: 2px solid red; padding: 5px;"> <p>Utilize DOE 1.3, Item 010 for Agency Budget Policies, Estimates and Correspondence prior to Fiscal Year 2017 (Permanent) and DOE 1.3, Item 020 for Agency Budget Policies, Estimates and Correspondence prior to Fiscal Year 2017 (Temporary).</p> </div>	DAA-GRS-2015-0006-0001
020	<p>Budget execution records. Records offices create and receive in the course of implementing and tracking an appropriation. Includes:</p> <ul style="list-style-type: none"> • allotment advice, revisions, and ceiling limitations • apportionments and reapportionments • obligations under each authorized appropriation • rescissions and deferrals • operating budgets • outlay plans • fund utilization records • fund reviews • workforce authorization and distribution • continuing resolution guidance • calculations 	<p>Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0006-0002

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority	
	<ul style="list-style-type: none"> • impact statements • carryover requests • related records <p>Exclusion: Formal budget reports are covered in items 030 and 031.</p>			
030	<p>Budget reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.</p>	<p>Full fiscal-year reports.</p>	<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0003</p>
031		<p>All other reports.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0004</p>
Records any office creates and holds				
040	<p>Budget preparation background records. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.</p>	<p>Records held in office responsible for preparing agency's budget proposal to the White House.</p>	<p>Temporary. Destroy 2 years after close of the fiscal year to which the records relate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0006-0005</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description		Disposition Instruction	Disposition Authority
041	Records held at all other offices.		Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0006
050	Budget administration records. Records documenting administration of budget office responsibilities. Includes: <ul style="list-style-type: none"> • correspondence relating to routine administration, internal procedures, and other day-to-day matters • records monitoring expenditures under approved budget allocations • records of financial controls maintenance • spreadsheets and databases tracking income, expenditures, and trends • work planning documentation • cost structure and accounting code lists • feeder and statistical reports • related correspondence 		Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0006-0007

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

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
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>

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) 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	<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>	DAA-GRS-2014-0002-0001

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>Utilize ADM 1.7.1a or ADM 1.7.1b for Contractor Employee Job Classification Manuals until superseded</p>			
020	<p>Position descriptions. Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.</p>	<p>Official record copy of position description. Copy held at Human Resources office.</p>	<p>Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use.</p> <p style="border: 2px solid red;">Utilize DOE 2.1, Item 020, Position Descriptions</p>	DAA-GRS-2014-0002-0002
021		<p>Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF) and supervisor's personnel file.</p>	<p>Destroy in accordance with disposal instructions for associated file.</p> <p style="border: 2px solid red;">Federal: DOE 2.2, item 015, GRS 2.2, item 041 or GRS 2.2, item 080 per OPM recordkeeping requirements</p> <p style="border: 2px solid red;">Contractors: ADM 1.1.1</p>	
022		<p>All other related records. Includes:</p> <ul style="list-style-type: none"> • case file at position's program office • background material in Human Resources case file 	<p>Temporary. Destroy when position description is final, but longer retention is</p>	DAA-GRS-2014-0002-0003

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> 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 	<p>Records of one-time competitive and Senior Executive Service announcements/selections.</p>	Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later.	DAA-GRS-2017-0011-0001

EPI

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Item	Records Description	Disposition Instruction	Disposition Authority
051 EPI	<ul style="list-style-type: none"> • list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification • certificates, registers or lists of eligible candidates issued to selecting officials • job-related test records • 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>	Records of standing register competitive files for multiple positions filled over a period of time.	Temporary. Destroy 2 years after termination of register. DAA-GRS-2017-0011-0002
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>	Temporary. Destroy 1 year after date of submission.	DAA-GRS-2014-0002-0011
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>	Temporary. Destroy 5 years after date of final report.	DAA-GRS-2014-0002-0012
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>	Temporary. Destroy 1 year after approval is granted or denied.	DAA-GRS-2014-0002-0013

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Item	Records Description	Disposition Instruction	Disposition Authority	
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>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>Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.</p>	<p>DAA-GRS-2014-0002-0008</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 N1-434-96-3, item a for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records – Appointees until superseded</p>				
101		<p>Ethics pledges and waivers of appointees.</p>	<p>File in appointee's Official Personnel File, per Executive Order 13490.</p>	

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Item	Records Description		Disposition Instruction	Disposition Authority
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 N1-434-96-3, item b for Presidential Appointments (PA) and Presidential Appointments with Senate Confirmation (PAS) Records – Non-appointees until superseded</p>				
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>

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Item	Records Description	Disposition Instruction	Disposition Authority	
120	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.	Temporary. Destroy 2 years after hiring authority closes but longer retention is authorized if required for business use.	DAA-GRS-2014-0002-0016	
130	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.	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.	DAA-GRS-2014-0002-0017	
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

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Item	Records Description	Disposition Instruction	Disposition Authority	
150 EPI	<p>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.</p> <p>Exclusion: OPM's records are not covered by this item.</p>	<p>Temporary. Destroy 3 years after agreement terminates but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0002-0021	
160	<p>Delegated authority audits. (FEDERAL ONLY) Reports of delegated examining operations audit delivered to the audited agency.</p> <p>Exclusion: OPM's records are not covered by this item.</p>	<p>Temporary. Destroy when 3 years old but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0002-0022	
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> <ul style="list-style-type: none"> • 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>Records revealing no adverse impact.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0008-0001
171		<p>Records revealing an adverse impact.</p> <p>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>	DAA-GRS-2018-0008-0002
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 	<p>Temporary. Destroy when 1 year old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0008-0003	

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • 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>		

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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
015	<p>Official Personnel Folder (OPF)/electronic OPF (eOPF)</p> <p>The Official Personnel Folder (Standard Form 66) or its approved electronic equivalent documents an individual’s employment history.</p> <p>Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>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.</p> <p>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.</p> <div style="border: 1px solid red; padding: 2px;"> <p>OPM Privacy Act System of Record – OPM SORN GOVT-1 General Personnel Records: Current and former Federal employees as defined in 5 U.S.C. 2105.</p> </div>	<p>Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 250 years old, whichever is longer.</p>	<p>DAA-GRS-2017-0007-0004</p>

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	<p>Employee management administrative records. (FEDERAL ONLY) Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none"> • 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 <p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Contractors utilize ADM 1.3.1 Personnel Office Correspondence until superseded.</p> </div>	DAA-GRS-2017-0007-0001

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Item	Records Description	Disposition Instruction	Disposition Authority		
020	<p>Workforce and succession planning records. (FEDERAL ONLY)</p> <p>Records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Includes:</p> <ul style="list-style-type: none"> • planning and analysis models • planning data • briefing materials • studies and surveys • lists of functions and staff at key locations <p>Exclusion: Records maintained by executives responsible for policy formulation or other high-level actions. Schedule these on agency-specific schedules.</p>	<p>Temporary. Destroy 3 years after issuing each new plan; but longer retention is authorized if required for business use.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Contractors utilize ADM 1.3.1 Personnel Office Correspondence until superseded.</p> </div>	DAA-GRS-2017-0007-0002		
030	<p>Employee incentive award records. (FEDERAL ONLY)</p> <p>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.</p> <p>Exclusion: Records of Department-level awards require agency-specific schedules.</p> <p>Note: A new DOE records disposition schedule is being created for employee incentive awards (Federal Only) not maintained in the Official Personnel Folder (OPF)/electronic OPF (eOPF)</p>	<p>Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later; but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0003		
040	<table border="0" style="width: 100%;"> <tr> <td style="width: 33%; vertical-align: top;"> <p>Official Personnel Folder (OPF)/electronic OPF (eOPF). (FEDERAL ONLY)</p> <p>The Official Personnel Folder (Standard Form 66) or its approved electronic</p> </td> <td style="width: 33%; vertical-align: top;"> <p>Long-term records.</p> <p>Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p> </td> </tr> </table>	<p>Official Personnel Folder (OPF)/electronic OPF (eOPF). (FEDERAL ONLY)</p> <p>The Official Personnel Folder (Standard Form 66) or its approved electronic</p>	<p>Long-term records.</p> <p>Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p>	<p>Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but</p>	DAA-GRS-2017-0007-0004
<p>Official Personnel Folder (OPF)/electronic OPF (eOPF). (FEDERAL ONLY)</p> <p>The Official Personnel Folder (Standard Form 66) or its approved electronic</p>	<p>Long-term records.</p> <p>Records of separated employees saved to the “permanent” folder in the eOPF or filed on the right side of the hardcopy OPF.</p>				

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Item	Records Description		Disposition Instruction	Disposition Authority
	<p>equivalent documents an individual's employment history.</p> <p>Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p> <p>Note 1: For transferred employees, see Chapter 7 of <i>The Guide to Personnel Recordkeeping</i> for instructions.</p> <p>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.</p>		<p>longer retention is authorized if required for business use.</p> <p>Federal - utilize DOE 2.2, Item 015 Official Personnel Folder (OPF)/electronic OPF (eOPF)</p> <p>Contractors – Utilize ADM 1.1.1 Official Contractor Personnel File until superseded</p>	
041	<p>Short-term records.</p> <p>Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.</p> <p>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.</p>		<p>Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier.</p>	DAA-GRS-2017-0007-0005
050	<p>Notifications of personnel actions. (FEDERAL ONLY)</p> <p>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.</p> <p>Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.</p>		<p>Temporary. Destroy when business use ceases.</p> <p>DOE Business Use: Destroy when 3 years old.</p>	DAA-GRS-2017-0007-0006

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Item	Records Description	Disposition Instruction	Disposition Authority	
060	<p>Employment eligibility verification records. Employment Eligibility Verification form I-9 and any supporting documentation.</p>	<p>Temporary. Destroy 3 years after employee separates from service or transfers to another agency.</p>	<p>DAA-GRS-2017-0007-0007</p>	
070	<p>Employee performance file system records. (FEDERAL ONLY) 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.</p>	<p>Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)).</p> <p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0008</p>
071	<p>Performance records of presidential appointees are not covered by the GRS. Such records must be</p>	<p>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.</p> <p>Legal citations: 5 U.S.C. section 4303(d) and 5 CFR Part 293.404</p>	<p>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.</p>	<p>DAA-GRS-2017-0007-0009</p>
072	<p>Performance records of presidential appointees are not covered by the GRS. Such records must be</p>	<p>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.</p>	<p>Temporary. Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0007-0010</p>

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Item	Records Description		Disposition Instruction	Disposition Authority
	scheduled by submitting an agency-specific schedule to NARA.	<p>Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.</p> <p>Legal citation: 5 CFR Part 293.404</p>		
073		<p>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.</p> <p>Legal citation: 5 CFR Part 293.404</p>	<p>Temporary. Destroy when superseded. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2017-0007-0011
080	<p>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.</p> <p>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.</p> <p>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.</p>		<p>Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p>	DAA-GRS-2017-0007-0012

DOE Privacy Act System of Record – DOE-2- DOE Personnel Supervisor Maintained Personnel Records: Current and former DOE employees including National Nuclear Security Administration

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Item	Records Description	Disposition Instruction	Disposition Authority	
090	<p>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.</p> <p>Exclusion: Agency and dependent requests for passports maintained by the Department of State are covered under an agency-specific schedule.</p>	<p>Application records. Records related to administering the application or renewal of official passports and visas, including:</p> <ul style="list-style-type: none"> • copies of passport and visa applications • passport and visa requests • special invitation letters • visa authorization numbers • courier receipts • copies of travel authorizations 	<p>Temporary. Destroy when 3 years old or upon employee separation or transfer, whichever is sooner; but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0013
091		<p>Official passport registers. Registers and lists of agency personnel who have official passports.</p>	<p>Temporary. Destroy when superseded or obsolete.</p>	DAA-GRS-2017-0007-0014
092		<p>Official passports of transferred or separated agency personnel.</p>	<p>Transfer to new agency or return to the Department of State upon expiration or upon separation of the employee.</p>	None; filing instruction only.
100	<p>Volunteer service program administrative records. Records documenting routine administration, internal procedures, and general activities, including:</p> <ul style="list-style-type: none"> • general correspondence • annual reports on volunteer activities 		<p>Temporary. Destroy when 3 years old; but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0015
110	<p>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:</p>	<p>Case files on volunteers.</p> <p>Exclusion: Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable</p>	<p>Temporary. Destroy 4 years after volunteer departs service; but longer retention is authorized if required for business use.</p>	DAA-GRS-2017-0007-0016

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • volunteer agreements documenting position title, office title, duty location, days/hours on duty • parental approval forms • performance evaluations • training information • certificates of appreciation 	for leave or any other employee benefits. Items 040 and 041 of this schedule cover these records.	
111	<ul style="list-style-type: none"> • correspondence documenting inclusive dates of service and total hours or days worked 	Case files on individuals whose applications were rejected or withdrawn.	Temporary. Destroy when 1 year old.
120	<p>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.</p> <p>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.</p>	<p>Temporary. Destroy when business use ceases.</p> <p>DOE Business Use: Destroy when 2 years old.</p>	DAA-GRS-2017-0007-0018

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

GENERAL RECORDS SCHEDULE (GRS) 2.3: Employee Relations Records

This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. Additional copies of these records, when held by supervisors or managers in program offices, are supervisory files covered under GRS 2.2, item 080.

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.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Employee relations programs' administrative records. Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:</p> <ul style="list-style-type: none"> • program-related correspondence • copies of statutes, regulations, directives, and instructions • timetables and guidelines for processing case files and appealing decisions • planning records • meeting minutes • program evaluations and reports to senior management • statistical records tracking program participation and participants • records tracking programs' compliance with relevant Executive Orders and other requirements • records arranging for outside mediator and facilitator involvement in case settlements <p>Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).</p> <p>Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0001</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</p>		
020	<p>Reasonable accommodation case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes:</p> <ul style="list-style-type: none"> • request, approvals and denials • notice of procedures for informal dispute resolution or appeal processes • forms, correspondence, records of oral conversations • policy guidance documents • medical records • supporting notes and documentation 	<p>Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0002
030	<p>Dislocated worker program case files. Includes applications, registrations, supporting documentation.</p>	<p>Temporary. Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0003
040	<p>Telework/alternate worksite program case files. Includes:</p> <ul style="list-style-type: none"> • agency/employee agreements • records such as questionnaires relating to the safety of the worksite • records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act or agencies' Personally Identifiable Information policies 	<p>Temporary. Destroy when superseded or obsolete or 1 year after end of employee's participation in program, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0004

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Item	Records Description	Disposition Instruction	Disposition Authority
050	<p>Harassment complaint case files. Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes:</p> <ul style="list-style-type: none"> • complaint, correspondence, notes, forms, and supporting material • records of investigation, statements of witnesses • determination as to whether harassment occurred • documentation of preventive or corrective measures <p>Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.</p>	<p>Temporary. Destroy 7 years after close of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0005
060	<p>Administrative grievance, disciplinary, performance-based, and adverse action case files.</p> <ul style="list-style-type: none"> • Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: <ul style="list-style-type: none"> ○ statement of grievance, supporting documentation, and evidence ○ statements of witnesses, records of interviews and hearings ○ examiner’s findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: <ul style="list-style-type: none"> ○ performance appraisal, performance improvement plan, and supporting documents ○ recommended action, employee’s reply ○ records of hearings and decisions ○ records of appeals • Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes: <ul style="list-style-type: none"> ○ proposed adverse action, employee's reply ○ statements of witnesses ○ records of hearings and decisions ○ letters of reprimand ○ records of appeals 	<p>Temporary. Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>DOE Business Use: Destroy 4 years after case closed or final settlement on appeal.</p> </div>	DAA-GRS-2018-0002-0006

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Note 1: Letter of reprimand filed in an employee’s Official Personnel File is scheduled by GRS 2.2, item 041.</p> <p>Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</p>			
070	<p>Alternative Dispute Resolution (ADR) case files. Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR • records of intake and process • records of settlement or discontinuance of case • parties’ written evaluations of the process 	<p>Informal process. Records not associated with another employee dispute, complaint or grievance process.</p>	<p>Temporary. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.</p>	DAA-GRS-2018-0002-0007
071		<p>Formal process. Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.</p>	<p>Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0008
080	<p>Merit Systems Protection Board (MSPB) case files. (FEDERAL ONLY) Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:</p> <ul style="list-style-type: none"> • petitions for appeal, agencies’ responses to petitions • hearing notices, transcripts, testimony, briefs, and exhibits • MSPB initial decisions • petitions for review, responses of opposing party to petition • orders granting or denying intervention • MSPB final opinions, orders, and decisions 	<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0009	

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Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion: Corresponding case files at MSPB (must be scheduled by MSPB).</p>		
090	<p>Labor arbitration (negotiated grievance procedure) case records. (FEDERAL ONLY) Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.</p> <div data-bbox="237 565 703 753" style="border: 1px solid red; padding: 5px;"> <p>A new schedule is being created to cover Contractor Labor Arbitration (negotiated grievance procedure) Case files</p> </div> <div data-bbox="743 537 1472 678" style="border: 1px solid red; padding: 5px;"> <p>DOE Privacy Act System of Record – DOE-1 – Grievance Records: Current and former DOE employees including National Nuclear Security Administration (NNSA) employees, consultants, board members, and applicants.</p> </div>	<p>Temporary. Destroy 3 years after close of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0010
100	<p>Federal Labor Relations Authority (FLRA) case files. (FEDERAL ONLY) Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</p> <ul style="list-style-type: none"> • records of representation proceedings <ul style="list-style-type: none"> ○ petitions, notice of petitions, cross-petitions, motions ○ records documenting adequate showing of interest ○ challenges to the status of a labor organization ○ records of meetings, hearings, and prehearing conferences ○ statements of witnesses ○ dismissals of petitions ○ decisions, orders • records of unfair labor practices proceedings <ul style="list-style-type: none"> ○ charges/allegations of unfair labor practices, amendments, and supporting evidence ○ records of charges/allegations investigation, including subpoenas ○ complaints by FLRA Regional Director ○ motions, responses, stipulations 	<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0011

A new schedule is being created to cover Contractor National Labor Relations Board (NLRB) Case files, which will incorporate certification / decertification. Continue to utilize ADM 1.53 for certification / decertification records until superseded.

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ records of hearings ○ records of decisions and settlements ● records of negotiability proceedings <ul style="list-style-type: none"> ○ petitions for review ○ records of post-petition conferences ○ agencies' statements of position, unions' responses, and agencies' counter-responses ○ records of post-petition conferences ○ decisions, orders ● records of review of arbitration awards <ul style="list-style-type: none"> ○ exceptions to arbitrators' award rendered pursuant to arbitrations ○ oppositions to exceptions ○ determination of grounds for review ○ decisions, orders <p>Exclusion: Corresponding case files at FLRA (must be scheduled by FLRA).</p>			
110	<p>EEO discrimination complaint case files. Includes:</p> <ul style="list-style-type: none"> ● intake sheet ● summary report 	<p>Informal process. Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.</p>	<p>Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0012
111	<ul style="list-style-type: none"> ● notes ● supporting documentation ● correspondence 	<p>Formal process. Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p> <p>Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).</p>	<p>Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0013

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Item	Records Description	Disposition Instruction	Disposition Authority
120	<p>Records documenting contractor compliance with EEO regulations. Reviews, background documents, and correspondence relating to contractor employment practices.</p>	<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0014</p>
130	<p>Labor management relations agreement negotiation records. (FEDERAL ONLY) Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence, memoranda, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 	<p>Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0015</p>

Continue to utilize ADM 1.28.1, ADM 1.52a, or N1-434-92-4, items 23a(1)(1) and 23b(1) for Labor Management Relations Agreement Negotiation and Administrative Records (Contractor) until superseded until superseded

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

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			
020 EPI	<p>Time and Attendance Source and Input Records</p> <p>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.</p>	<p>Detailed records that include work locations</p> <p>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.</p> <p>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.</p>	<p>Temporary. Destroy when 250 old.</p> <p>DAA-GRS-2019-0004-0002</p>

Item	Records Description	Disposition Instruction	Disposition Authority
<p>025</p> <p>EPI</p>	<p>Records that do not contain work locations (Federal)</p> <p>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.</p> <p>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.</p>	<p>Temporary. Destroy when 10 years old.</p>	<p>DAA-GRS-2019-0004-0002</p>
<p>030</p> <p>EPI</p>	<p>Records that do not contain work locations (Contractor)</p> <p>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.</p> <p>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.</p>	<p>Temporary. Destroy 10 years after final payment.</p>	<p>DAA-GRS-2019-0004-0002</p>

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	<p>Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.</p> <p>Includes:</p> <ul style="list-style-type: none"> • additions to paychecks <ul style="list-style-type: none"> ○ child care subsidies ○ Internal Revenue Service form W-9 (Request for Taxpayer Identification Number) ○ other additions • deductions from paychecks <ul style="list-style-type: none"> ○ 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 	<p>Temporary. Destroy 3 years after paying agency or payroll processor validates data, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0004-0001

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ○ Combined Federal Campaign ○ garnishments (IRS form 668A—Notice of Levy—and similar records) ○ Treasury bond purchases ○ other deductions ● authorizations for deposits into bank accounts ● changes or corrections to previous transactions either at paying agency or payroll processor ● Fair Labor Standards Act exemption worksheets 		
020	<p>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.</p> <p>Legal citation: IRS Publication 15 (2015), (Circular E), Employer's Tax Guide, section on Recordkeeping.</p>	<p>Temporary. Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0002
030	<p>Time and attendance records. 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.</p> <p>Legal citation: 29 CFR 516.5a</p>	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2019-0004-0002
035	<p>Phased-retirement employees' overtime documentation. (FEDERAL ONLY) Records documenting ordering or permitting phased-retirement employees to work overtime.</p>	<p>Temporary. Destroy when 6 years old.</p>	DAA-GRS-2018-0001-0001

EPI

Utilize DOE 2.4, items 020, 025 or 030

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Item	Records Description	Disposition Instruction	Disposition Authority	
	Legal citation: 5 CFR 831.1715, section 4			
040	<p>Agency payroll record 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.</p> <p>Legal citation: 5 U.S.C. 8466</p>	<p>Temporary. Destroy when 56 years old.</p> <p>Utilize ADM 2.1c, N1-434-98-1, item 20a(1) (in part), or N1-434-98-1, item 20a(2) (in part), for Employee Payroll Records for each pay period until superseded. ADM 2.1a was rescinded by NARA and ADM 2.1b initially cross-walked here, but due to EPI hold, are unscheduled until the new DOE records disposition schedule is approved.</p>	DAA-GRS-2016-0015-0004	
050	<p>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.</p> <p>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).</p>	<p>Temporary. Destroy when 4 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0005	
060	<p>Payroll program administrative records. Records produced in administering and operating payroll</p>	<p>Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes.</p>	<p>Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0006

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Item	Records Description	Disposition Instruction	Disposition Authority
061	<p>functions of a general nature and not linked to an individual employee's pay.</p> <p>Payroll system reports providing fiscal information on agency payroll.</p>	<p>Temporary. Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0007
Compensation and Benefits Administrative Program Records			
070	<p>Donated leave program administrative records. Records related to managing the program, including:</p> <ul style="list-style-type: none"> • 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 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0008
071	<p>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.</p>	<p>Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0009
080	<p>Wage survey files. Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys;</p>	<p>Temporary. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed</p>	DAA-GRS-2016-0015-0010

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Item	Records Description	Disposition Instruction	Disposition Authority	
	development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	surveys), but longer retention is authorized if required for business use.		
090	<p>Incentive package records. (FEDERAL ONLY) Records of recruitment, relocation, and retention incentives; federal student loan repayment; and supervisory differentials offered under the Federal Employees Pay Comparability Act.</p> <div data-bbox="256 570 1121 727" style="border: 1px solid red; padding: 5px;"> <p>Contractors utilize ADM 1.1.1 Contractor Employee Personnel File for employment agreements, recruitment, relocation, employee awards and retention incentive packages until superseded.</p> </div>	<p>Temporary. Destroy 3 years after date of approval, completion of service agreement, or termination of incentive or differential payment, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0011	
100	<p>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:</p> <ul style="list-style-type: none"> • forms, reports, correspondence, claims • medical and investigatory records • administrative determinations or court rulings 	<p>Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.</p> <div data-bbox="1100 946 1908 1062" style="border: 1px solid red; padding: 5px;"> <p>Utilize ADM 1.31 (in part) or N1-434-92-4, item 26 (in part) for Workers Compensation until superseded.</p> </div>	<p>Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed.</p>	DAA-GRS-2016-0015-0012

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description		Disposition Instruction	Disposition Authority	
101	<ul style="list-style-type: none"> • payment records <p>Exclusion 1: Copies filed in the Employee Medical Folder.</p> <p>Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>		<p>Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.</p>	<p>Temporary. Destroy 15 years after compensation ceases or when deadline for filing a claim has passed.</p>	<p>DAA-GRS-2016-0015-0013</p>
110	<p>Requests for health benefits under spouse equity. (FEDERAL ONLY)</p> <p>Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.</p>	<p>Successful applications, including those denied and successfully appealed.</p>	<p>Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins.</p>		
111		<p>Denied applications.</p>	<p>Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate.</p>	<p>DAA-GRS-2016-0015-0014</p>	
120	<p>Child care subsidy program administrative records.</p> <p>Records related to managing the program, including:</p> <ul style="list-style-type: none"> • 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 		<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0015</p>	

Utilize ADM 1.31 (in part) or N1-434-92-4, item 26 (in part) for Workers Compensation until superseded.

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
121	<p>Child care subsidy program individual case files. Case files of individual employee participation in child care subsidy programs, such as:</p> <ul style="list-style-type: none"> • 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 	<p>Temporary. Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0016
130	<p>Transportation subsidy program administrative records. Records related to managing the program, including:</p> <ul style="list-style-type: none"> • 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 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0017
131	<p>Transportation subsidy program individual case files. Case files of individual employee participation in transportation subsidy programs, such as:</p> <ul style="list-style-type: none"> • 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 	<p>Temporary. Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0015-0018

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
140	<p>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.</p> <p>Legal citation: 29 CFR 825.500</p>	<p>Temporary. Destroy 3 years after superseded or obsolete, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0019</p>
141	<p>Family Medical Leave Act program individual case files. Includes:</p> <ul style="list-style-type: none"> • 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 <p>Legal citation: 29 CFR 825.500</p>	<p>Temporary. Destroy 3 years after conclusion of leave being taken, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0015-0020</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

GENERAL RECORDS SCHEDULE (GRS) 2.5: Employee Separation Records

This schedule covers records created in the process of employees leaving Federal service whether that service status is career, temporary, or political appointment. These records divide into two categories: records of managing an employee separation program in general, and case files specific to individual separations. Bullet lists describe records that *may* be contained in these files. They do not mean to convey that all of these records *must* be contained in every file. In particular, records pertinent to individual separating employees will vary depending on the type of service (career, temporary, or political appointment) and an employee’s responsibilities.

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	<p>Separation program management records. (FEDERAL ONLY) Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Includes:</p> <ul style="list-style-type: none"> • registers of separation or transfers such as SF-2807, SF-3103, or similar records • retention registers and related records • reports, correspondence, and control documents • exit interview compilations identifying and tracking trends 	<p>Records not specific to an agency separation initiative.</p>	<p>Temporary. Destroy when no longer required for business use.</p> <div style="border: 2px solid red; padding: 5px; width: fit-content;"> <p>DOE Business Use: Destroy when 2 years old.</p> </div>	<p>DAA-GRS-2014-0004-0001</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
011		<p>Temporary. Destroy 2 years after date of program closure, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0004-0002
020	<p>Individual employee separation case files. (FEDERAL ONLY)</p> <p>Records not included in separating employee’s Official Personnel Folder (OPF), documenting individual employees’ transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes:</p> <ul style="list-style-type: none"> • records of counseling activities and outplacement services • exit interview records • exit clearances • checklists of returned property • certifications of removal/non-removal of government records • records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation • records documenting terms and entitlements of separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance) • records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement) • copy of leave record (see “Record of employee leave,” item 040 of this schedule, for record copy) retained for agency use <p>Exclusion: Records required to be filed in employee’s OPF are excluded from this item.</p>	<p>Temporary. Destroy 1 year after date of separation or transfer, but longer retention is authorized if required for business use.</p> <div style="border: 2px solid red; padding: 5px; margin-top: 10px;"> <p>Contractors utilize ADM 1.1.1 Contractor Employee Personnel File until superseded</p> </div>	DAA-GRS-2014-0004-0003

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
030	<p>Records documenting capture of institutional and specialized knowledge. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.</p> <p>Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency.</p> <p style="border: 1px solid red; padding: 2px; display: inline-block;">Formal oral histories will be addressed in the DOE Mission Schedules</p>	<p>Temporary. Destroy when no longer required for business use.</p> <p style="border: 1px solid red; padding: 2px; display: inline-block;">DOE Business Use: Destroy when 1 year old</p>	DAA-GRS-2014-0004-0004
040	<p>Individual employee separation records required to be placed in separating employee's OPF. (FEDERAL ONLY) As identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping, includes but is not limited to:</p> <ul style="list-style-type: none"> • resignation letter • reason for separation (such as reduction in force) • documentation of retirement-option elections and coverage • documentation of indebtedness • documentation of payment or repayment to, or refund from FERS or CSRS • record of employee leave prepared upon transfer or separation • records of most recent performance ratings • designation of beneficiary 	<p>File on left side (short-term) or right side (long-term) of the Official Personnel Folder (OPF), as appropriate.</p> <p style="border: 1px solid red; padding: 2px; display: inline-block;">Contractors utilize ADM 1.1.1 Contractor Employee Personnel File until superseded</p>	
050	<p>Phased retirement administrative records. (FEDERAL ONLY)</p> <p>Records related to managing the program, including:</p> <ul style="list-style-type: none"> • procedural guidance on program administration • informational/marketing/publicizing materials • general correspondence 	<p>Temporary. Destroy when 3 years old or 3 years after revision or replacement, as appropriate, but longer</p>	DAA-GRS-2016-0007-0001

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • reports to OPM • memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations • documentation of program structure and details as uniquely instituted by agency <p>Exclusion: This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.</p>	<p>retention is authorized if required for business use.</p>	
051	<p>Phased retirement individual case files. (FEDERAL ONLY) Case files of individual employee participation in phased retirement, such as:</p> <ul style="list-style-type: none"> • application for immediate retirement • evidence of eligibility • reviews/recommendations by supervisor and others • notice of approval or disapproval • retirement benefit estimates • annuity calculations • phased retirement agreement • records documenting knowledge transfer activities • confidentiality agreement with mentees • action/project plans and logs • correspondence <p>Note: Agencies may choose to file these records with the employee’s retirement file, in which case the agency should retain them according to the retention period for the retirement file, per GRS 2.5, item 020.</p> <p>Exclusion: This item does not cover records held at OPM concerning staff at other agencies.</p>	<p>Temporary. Destroy 1 year after employee participation concludes or the employee retires, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0007-0002

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

DEPARTMENT OF ENERGY (DOE) 2.6: Employee Training Records

Records documenting design, development, and implementation of employee training. Records includes both administrative and mission related training. This schedule includes documentation of employee training provided from internal or external vendors, DOE, or other agencies; and is applicable to Federal and contractor employees.

NOTE: Refer to GRS 2.6 for all other Employee Training records not addressed in this schedule.

Item	Records Description		Disposition Instruction	Disposition Authority
015	<p>Individual Employee Administrative and Ethics Training Records (Federal and Contractor) (Excludes Mission Related Training)</p> <p>Records documenting required administrative training, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <p>General Administrative:</p> <ul style="list-style-type: none"> • completion certificates or verification documents for mandatory training required of all Federal and contractor employees or specific groups of employees (e.g., supervisors, contractors) • Individual Development Plans (IDPs) • mentoring or coaching agreements <p>Ethics</p> <ul style="list-style-type: none"> • administration of new employee ethics orientations. annual, and other types of ethics training • agency’s annual written plans • notices about training requirements and course offerings • rosters of employees required to attend, and verification of training completed • instructor guides, handbooks, handouts, and other materials <p>Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by</p>	Federal Employees	Temporary. Destroy when 10 years old.	DAA-GRS-2016-0014-0003 and DAA-GRS-2016-0014-0002
016		Contractor Employees	Temporary. Destroy 10 years after employee separation OR contract completion (final payment), whichever is later.	DAA-GRS-2016-0014-0003 and DAA-GRS-2016-0014-0002
EPI				

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>this item. See DOE 2.6, item 010 for individual employee mission related training records.</p> <p>Note 1: GRS 2.6, items 020 and 030 authorize longer retention, records are needed to support OIG’s mission of preventing fraud, waste and abuse in DOE programs and operations.</p> <p>Note 2: If administrative and/or mission related records are consolidated, utilized the schedule with the longest retention.</p>		
<p>030</p> <div style="border: 1px solid red; padding: 2px; display: inline-block; margin-top: 5px;">EPI</div>	<p>Individual Technical Qualification Program (TQP)/electronic Technical Qualification Program (eTQP) Records</p> <p>The TQP Program is to ensure employees have the requisite technical competency to support the mission of the DOE and is the primary driver behind the Safety Training Program. The objectives of the program are to identify the competencies that employees must possess to ensure DOE defense nuclear facilities are operated in a safe manner. Establish a program that clearly identifies and documents the process used to demonstrate employee technical competence; ensure that employees maintain their technical competencies and maintain a cycle for continuous performance improvement through structured individualized training and development programs. Qualification standards include, but are not limited to:</p> <ul style="list-style-type: none"> • Aviation Safety Manager • Aviation Safety Officer • Chemical Processing • Civil and Structural Engineering • Criticality Safety • Electrical Systems and Safety Oversight • Emergency Management • Environmental Compliance • Facility Maintenance Management • Facility Representative • Fire Protection Engineering 	<p>Temporary. Consolidate into the Individual Employee Training Records when individual no longer performs activity.</p>	<p>None; filing instructions only</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • General Technical Base • Industrial Hygiene • Instrument and Control • Mechanical Systems • NNSA Package Certification Engineer • Nuclear Explosive Safety Study • Nuclear Safety Specialist • Project Management • Occupational Safety • Quality Assurance • Radiation Protection • Safeguards and Security • Safety Software Quality Assurance • Senior Technical Safety Manager • Technical Training • Transportation and Traffic Management • Waste Management (including driver qualifications) • Weapons Quality Assurance 		

GENERAL RECORDS SCHEDULE (GRS) 2.6: Employee Training Records

This schedule covers records about designing, developing, and implementing employee training within Federal agencies that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, EEO compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. It does not include specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document an agency's program objectives or illustrate program operations. This schedule includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

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.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Non-mission employee training program records.</p> <p>Exclusion: This item does not cover ethics-related training. Ethics training is scheduled by item 020.</p> <p>Records about planning, assessing, managing, and evaluating an agency's training program:</p> <ul style="list-style-type: none"> • plans, reports and program evaluations • organizational and occupational needs assessments • employee skills assessments • employee training statistics • notices about training opportunities, schedules, or courses • mandatory training tracking and reporting files • logistics and coordination documents • Authorization, Agreement and Certification of Training (SF-182) and similar records • registration forms, employee attendance records • syllabi, presentations, instructor guides, handbooks, and lesson plans • reference and working files on course content 	<p>Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2016-0014-0001</p>

Utilize ADM 1.29b (in part), ADM 1.29.2a(1), ADM 1.29.2a(2), ADM 1.29.2c (in part), ADM 1.29.2d (in part), N1-434-92-4, item 24b(2) (in part), N1-434-89-12, item 9a, N1-434-98-1, item 20b (in part) or DAA-0434-2015-0003-0002 (in part) for training content related to Mission Related Training Program Records (including Hazardous, Environmental and Safety Training) until superseded.

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> other course materials, such as presentations and videos student, class, or instructor evaluations <p>Note: Financial records related to purchase of training or travel for training are scheduled under GRS 1.1, item 010.</p>		
020	<p>Ethics training records. Records include but are not limited to:</p> <ul style="list-style-type: none"> administration of new employee ethics orientations, annual, and other types of ethics training agency's annual written plans notices about training requirements and course offerings rosters of employees required to attend and verification of training completed instructor guides, handbooks, handouts and other materials 	<p>Temporary. Destroy when 6 years old or when superseded, whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0014-0002
030	<p>Individual employee training records. Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:</p> <ul style="list-style-type: none"> completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors) Individual Development Plans (IDPs) mentoring or coaching agreements <p>Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.</p>	<p>Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0014-0003

Utilize DOE 2.6, item 015 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Federal) OR DOE 2.6, item 016 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Contractor)

Utilize DOE 2.6, item 015 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Federal) OR DOE 2.6, item 016 for Individual Employee Administrative and Ethics Training Records (excludes Mission Related Training) (Contractor)

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

Item	Records Description	Disposition Instruction	Disposition Authority
040	<p>Senior Executive Service Candidate Development Program (SESCDP). (FEDERAL ONLY) SESCDP is an OPM-approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career appointment in the Senior Executive Service.</p>	<p>Program records. Records documenting program scope, policies, planning, budget, and curriculum planning.</p>	<p>Temporary. Destroy when no longer needed for business use. DOE Business Use: Destroy when 3 years old or when superseded/obsolete.</p>
041		<p>Case records on SESCDP participants. Records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.</p>	<p>Temporary. Destroy upon certification by OPM's Qualifications Review Board (QRB) or 1 year after separation from SESCDP, but longer retention is authorized if required for business use.</p>

NARA utilized Flexible Scheduling for many schedule items to allow Agencies across the Federal government to define this retention in their Agency Records Disposition Manual. DOE & DOE Contractors shall utilize the GRS retention as noted. If the GRS allows for longer retention, this cannot be applied without approval utilizing the Records Retention Exception Authorization form DOE F 246.0.

DEPARTMENT OF ENERGY (DOE) 2.7: Employee Health and Safety Records

Records documenting employee health and safety functions, including non-occupational health records, medical records, health unit records, radiation exposure, and hazardous concentrations of toxic chemical exposure.

Note: Refer to GRS 2.7 for all other Employee Health and Safety records not addressed in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
Medical			
010	<p>Clinic Scheduling Records</p> <p>Records of clinic visits, both occupational and non-occupational generated by an on-site OR outside health unit when performing medical services on behalf of the government under contract services.</p> <p>EPI Records include, but are not limited to:</p> <ul style="list-style-type: none"> patient's name, time of appointment, and type of work to be performed details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit notifications about appointment updates patient visit and other scheduling-related statistics (e.g., logs and registers reflecting daily number of visits to dispensaries, first aid rooms and health units, regardless if summarized) <p>Note: GRS 2.7, item 010 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>	Temporary. Destroy when 75 years old.	DAA-GRS-2017-0010-0001

Item	Records Description	Disposition Instruction	Disposition Authority
Occupational Health			
100	<p>Occupational Injury and Illness Program Records</p> <p>Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent • DOE Computerized Accident Incident Reporting System (CAIRS) <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered in DOE 2.4, item 100</p> <p>Note: GRS 2.7, item 020 authorizes use of longer retention; are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.</p> <p>Citations:</p> <p>29 CFR Occupational Safety and Health Administration</p> <ul style="list-style-type: none"> • 29 CFR 1904 Subpart C – <i>Recordkeeping Forms and Recording Criteria</i> • 29 CFR 1904 Subpart D – <i>Other OSHA Injury and Illness Recordkeeping Requirements</i> • 29 CFR 1904 Subpart E – <i>Reporting Fatality, Injury and Illness Information to the Government</i> 	<p>Temporary. Destroy when 75 years old.</p>	<p>DAA-GRS-2017-0010-0002</p>

GENERAL RECORDS SCHEDULE (GRS) 2.7: Employee Health and Safety Records

This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management 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.

Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees.

Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Clinic scheduling records. Scheduling records of clinic visits, both occupational and non-occupational. Includes:</p> <ul style="list-style-type: none"> • patient's name, time of appointment, and type of work to be performed • details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit • notifications about appointment updates • patient visit and other scheduling-related statistics 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0001</p>
		<p>Utilize DOE 2.7, Item 010, Clinical Scheduling Records (Occupational and Non-Occupational)</p>	

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Item	Records Description	Disposition Instruction	Disposition Authority
Occupational Health Records			
020	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> • miscellaneous reports, annual summaries or reports to the Secretary of Labor • correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) • OSHA 300 Log • OSHA 301 Incident Report • OSHA 300A Summary or equivalent <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.</p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p>Utilize DOE 2.7, Item 100, Occupational Injury and Illness Program Records</p> </div>	<p>DAA-GRS-2017-0010-0002</p>
030	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p>Exclusion 2: Utilize ADM 1.29b, ADM 1.29.1a(1), ADM 1.29.1a(2), DOE 1.29.1a(3), ADM 1.29.1a(4), ADM 1.29.1b, N1-434-92-4, items 24a(1) (in part), 24a(2) (in part), 24a(3) (in part), 24a(4) (in part), and 24b(1) until superseded</p> </div>	<p>Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2017-0010-0003</p>

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Item	Records Description	Disposition Instruction	Disposition Authority	
040	<p>Workplace environmental monitoring and exposure records.</p> <p>Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>Note 2: These items are intended for agencies subject</p>	<p>OSHA-regulated substance monitoring and exposure records.</p> <p>Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0004</p>
041	<p>Occupational noise monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.95(m)(3)(i)</p>	<p>Temporary. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0005</p>	

Utilize ADM 1.21.2c (in part), ADM 1.21.4a, ADM 1.21.4b, ADM 1.21.4c, ADM 1.21.4d, ADM 1.21.4e(1), ADM 1.21.4e(2), N1-434-98-1, items 12a (in part) or 12b (in part) until superseded

Utilize ADM 1.21.2c, ADM 1.21.4a, ADM 1.21.4b, ADM 1.21.4c, ADM 1.21.4d, ADM 1.21.4e(1), ADM 1.21.4e(2), N1-434-98-1, item 12a (in part) or N1-434-98-1, item 12b (in part) until superseded

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Item	Records Description	Disposition Instruction	Disposition Authority	
042	<p>to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citation: 29 CFR Part 1910.1045 App A(vi)(C)</p>	<p>Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0006</p>
043		<p>Background data. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p> <p>Note: Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years.</p> <p>Legal Citation: 29 CFR Part 1910.1020(d)(1)(ii)(A)</p>	<p>Temporary. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0007</p>

Utilize ADM 1.21.2c, ADM 1.21.4a, ADM 1.21.4b, ADM 1.21.4c, ADM 1.21.4d, ADM 1.21.4e(1), ADM 1.21.4e(2), N1-434-98-1, item 12a (in part) or N1-434-98-1, item 12b (in part) until superseded

Utilize ADM 1.21.2c, ADM 1.21.4a, ADM 1.21.4b, ADM 1.21.4c, ADM 1.21.4d, ADM 1.21.4e(1), ADM 1.21.4e(2), N1-434-98-1, item 12a (in part) or N1-434-98-1, item 12b (in part) until superseded

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Item	Records Description	Disposition Instruction	Disposition Authority	
050	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule.</p> <p>Exclusion: Utilize ADM 1.21.2c, ADM 1.21.4a, ADM 1.21.4b, ADM 1.21.4c, ADM 1.21.4d, ADM 1.21.4e(1), ADM 1.21.4e(2), N1-434-98-1, item 12a (in part) or N1-434-98-1, item 12b (in part) until superseded</p> <p>Note: Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if “some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.” Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained.</p> <p>Legal citation: 29 CFR Part 1910.1020(d)(1)(ii)(B)</p>	<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-2017-0010-0008</p>	
060	<p>Occupational individual medical case files. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ 	<p>Long-term records.</p> <p>Exclusion: Individual non-occupational medical records are covered by item 070.</p> <p>Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally related and, in those cases, may be included in the individual occupational medical case files. (5 CFR Part 293, Subpart E, Part 504)</p>	<p>Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.</p>	<p>DAA-GRS-2017-0010-0009</p>

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Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>examination by medical health care professionals and technicians</p> <ul style="list-style-type: none"> • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records <p>Note: For those entities subject to OPM's requirements, OPM determines which of these records are long term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.</p> <p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>	<p>Note 2: For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Note 3: For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p>		
061		<p>Short-term records.</p>	<p>Temporary. Destroy 1-year after employee separation or transfer.</p>	<p>DAA-GRS-2017-0010-0010</p>
062		<p>Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</p>	<p>Temporary. Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-2017-0010-0011</p>

Utilize ADM 1.19, ADM 1.21b, ADM 1.21.1a, ADM 1.21.1b, N1-434-98-1, items 12a (in part) or 12b (in part) until superseded.

Utilize ADM 1.19, ADM 1.21b, ADM 1.21.1a, ADM 1.21.1b, N1-434-98-1, items 12a (in part) or 12b (in part) until superseded.

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Item	Records Description	Disposition Instruction	Disposition Authority
Non-Occupational Health Records			
070	<p>Non-occupational individual medical case files. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual’s medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as “patient records” in Title 5 Part 293 Subpart E.</p> <p>Legal Citations: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.</p>	<p>Temporary. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0012</p>
<p>If occupational are maintained with non-occupational health records, utilize ADM 1.19, ADM 1.21b, ADM 1.21.1a, ADM 1.21.1b, N1-434-98-1, item 12a (in part) or 12b (in part) until superseded.</p>			
080	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 	<p>Temporary. Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-2017-0010-0013</p>

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Item	Records Description		Disposition Instruction	Disposition Authority
090	<p>Employee Assistance Program (EAP) counseling records. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p>	<p>Records related to employee performance or conduct. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions • illegal drug or alcohol use <ul style="list-style-type: none"> ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job ○ substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>	<p>Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.</p>	DAA-GRS-2017-0010-0014
091	<p>EPI</p>	<p>Records not related to performance or conduct. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers 	<p>Temporary. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements,</p>	DAA-GRS-2017-0010-0015

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Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • name, address, and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes 	but longer retention is authorized if needed for business use.	
Drug-free Workplace Program Records			
100	<p>Employee drug test plans, procedures, and scheduling records. Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:</p> <ul style="list-style-type: none"> • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules <p>Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.</p> <p>Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.</p>	Temporary. Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016
110	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.</p>	Temporary. Destroy when employee separates from	DAA-GRS-2017-0010-0017

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Item	Records Description		Disposition Instruction	Disposition Authority
			testing-designated position.	
120	Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, <i>e.g.</i> , chain-of-custody records.		Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018
130	Employee drug test results. Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.	Positive results.	Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019
131	Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	Negative results.	Temporary. Destroy when 3 years old.	DAA-GRS-2017-0010-0020

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GENERAL RECORDS SCHEDULE (GRS) 2.8: Employee Ethics Records

This schedule covers records documenting the activities of executive branch agency ethics program offices.

Records *not* covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.

Lists *not* included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, *Tracking and Control Records*. Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled. For ethics training records, see GRS 2.6, *Employee Training Records*.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>General ethics program records.</p> <p>Records created and maintained to coordinate and manage an agency’s ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</p> <ul style="list-style-type: none"> Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records. Determinations, including advice and counseling to individual employees, and supporting records. Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. 	<p>Temporary. Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-0006-0001

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Item	Records Description		Disposition Instruction	Disposition Authority
020	<p>Referrals and notifications of violations of criminal conflict of interest statutes and other potential violations files.</p> <p>Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, <i>Notification of Conflict of Interest Referral</i>.</p> <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p>Contractor referrals would fall under the Mandatory Disclosure Rule (FAR 52.203-13)</p> </div>		<p>Temporary. Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0002
030	<p>Reports of payments accepted from non-Federal sources. (FEDERAL ONLY)</p>	<p>Agency reports.</p> <p>Reports, including the “Semiannual Report of Payments Accepted from a Non-Federal Source,” submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p>	<p>Temporary. Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0003
031		<p>Supporting documentation.</p> <p>Documentation, such as statements and forms, used to complete the submitted reports.</p>	<p>Temporary. Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.</p>	DAA-GRS-2014-0005-0004
040	<p>Office of Government Ethics program questionnaire records. (FEDERAL ONLY)</p> <p>Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and</p>		<p>Temporary. Destroy 3 years after submission, but longer</p>	DAA-GRS-2014-0005-0005

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Item	Records Description		Disposition Instruction	Disposition Authority
	surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.		retention is authorized if required for business use.	
050	Ethics program review records. (FEDERAL ONLY) Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.		Temporary. Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.	DAA-GRS-2014-0005-0006
060	Public financial disclosure reports. (FEDERAL ONLY) Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.	Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603	Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0007
061		All other reports. Legal Citation: 5 U.S.C. app. section 105, 5 CFR part 2634.603	Temporary. Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is	DAA-GRS-2014-0005-0008

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Item	Records Description		Disposition Instruction	Disposition Authority
			mandatory; deviations are not allowed.	
062		<p>Periodic transaction reports. OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p>Legal Citation: STOCK Act, Pub. L. 112-105</p>	<p>Temporary. Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0009
063		<p>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</p> <p>Legal Citation: 5 U.S.C. app. section 105(b)(2)</p>	<p>Temporary. Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0010
070	<p>Confidential financial disclosure reports. (FEDERAL ONLY) Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential</p>	<p>Reports for individuals not subsequently confirmed by the U.S. Senate.</p> <p>Legal Citation: 5 CFR 2634.604</p>	<p>Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0011

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Item	Records Description		Disposition Instruction	Disposition Authority
071	Certificates of No New Interests (OGE Optional Form 450-A), and related records.	<p>All other reports.</p> <p>Legal Citation: 5 CFR 2634.604</p>	<p>Temporary. Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0012
072		<p>OGE Optional Form 450-A reports.</p> <p>Legal Citation: 5 CFR 2634.604, 5 CFR 2634.905</p> <p>Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.</p>	<p>Temporary. Destroy 6 years after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>	DAA-GRS-2014-0005-0013

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Item	Records Description	Disposition Instruction	Disposition Authority
080	Alternative or additional financial disclosure reports and related records. (FEDERAL ONLY)	Temporary. Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0014
081	Reports for individuals not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105	Temporary. Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2014-0005-0015
090	Financial disclosure supporting documentation. (FEDERAL ONLY) Supporting documentation used to review and verify the filer’s report submission. Includes records such as: <ul style="list-style-type: none"> • reviewer’s notes • background research reports • memorialized verbal comments of filer in response to reviewer questions 	Temporary. Destroy at the same time an individual’s related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active	DAA-GRS-2014-0005-0016

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Item	Records Description	Disposition Instruction	Disposition Authority	
		investigation, whichever is later.		
100	<p>Ethics agreements records. (FEDERAL ONLY)</p> <p>Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> • review of recusals, resignations, reassignments, and divestitures • determinations • authorizations • waivers • waivers of disqualifications <p>Note: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): <i>Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>	<p>Agreements for employees who do not file financial disclosure reports.</p>	<p>Temporary. Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0017
101		<p>Agreements for employees who file financial disclosure reports.</p>	<p>Temporary. Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.</p>	DAA-GRS-2014-0005-0018

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