

DEPARTMENT OF ENERGY ADMINISTRATIVE RECORDS SCHEDULE 1: PERSONNEL RECORDS

March 2020

Revision 3

As do all Administrative Records Schedules (ADMs), ADM-1 covers records of the Department and its contractors. The records include, employee concerns programs, labor agreements and negotiations, labor relations, academic and outreach programs, apprenticeship programs, job vacancies, unemployment compensation, recruitment and employee health. The most important types of records are the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders. Those for Federal employees are maintained according to *The Guide to Personnel Recordkeeping*, an Office of Personnel Management directive that prescribes a system of recordkeeping for Federal personnel.

Master files created in central data processing facilities that replace records described under item 21, 22 and 25f are not authorized for disposal by this schedule. Records authorized for disposal in this schedule are also authorized for such disposal in both hard copy and electronic formats. Retirement of non-current records to inactive storage is authorized. (N1-434-98-4, entire introduction)

1. **Official Personnel Folders of Federal Employees.** (GRS 1, item 1)

Records filed on the right side of the Official Personnel Folder (OPF). (See item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention. See item 1.1 for contractor personnel records.

a. Transferred employees.

See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.

Rescinded by GRS Transmittal 28

b. Separated employees.

Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.

Superseded by GRS 2.2, Item 040 (DAA-GRS-2017-0007-0004)

1.1 Official Personnel Files of Contractor Employees. (N1-434-89-1(1))

Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. Includes, among other things, copy of all personnel and pay actions, life and health insurance coverage, résumés, proof of residence, copy of background investigation (not the Personal Security Questionnaire or Standard Form 86, which is filed in the security office), military service documents; and training records of more than 40 hours and any and all training records (certificates of completion) on health and safety, radiation, hazardous duty and other courses when the employer's contract includes safety and health clauses (DEAR Subparts 970.52, 970.5204-2, 952.223, 952-223-71, 952-223-72, 952.223-74, and 952.223-75), unless separate training records are kept in the training activity. Drug testing records may be part of these files or may be maintained elsewhere provided they are adequately safeguarded.

Cut off the file at the time of separation. Transfer folders to the **local** Federal records center. Destroy 75 years after cutoff.

2. Service Record Cards for Federal Employees. (N1-434-98-4(2b))

Service Record Card (Standard Form (SF) 7 or equivalent) for employees separated or transferred on or after January 1, 1948.

Destroy 75 years after separation or transfer of employee.

[**NOTE:** Effective December 31, 1994, the SF 7 card became obsolete. The disposition applies to the information regardless of form.]

3. Federal Personnel Correspondence Files. (GRS 1, item 3)

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)

3.1 Contractor Personnel Office Records. (N1-434-89-1(2))

Administrative and correspondence type files relating to general administration and operation of personnel functions and such other records not maintained in individual personnel files or described elsewhere in this schedule.

Make disposition in accordance with the terms of the contract. Do not transfer to a Federal records center.

4. **Offers of Employment Files.** (GRS 1, item 4)

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0001 and 0002)

b. Declined offers for Federal employment:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application.

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

(2) Temporary or excepted appointment.

File with application (items 33k, 33l, 33m, or 33n, as appropriate).

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

(3) All others.

Destroy immediately.

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

5. **Certificate of Eligibles Files – Federal Employment.** (GRS 1, item 5)

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old.

Superseded by GRS 2.1, Item 050 or 051 (DAA-GRS-2017-0001 and 0002)

6. **Employee Record Cards.** (N1-434-98-4(6))

Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).

Destroy 75 years after separation or transfer of employee.

[NOTE: Effective December 31, 1994, the SF 7 card became obsolete. The disposition applies to the information regardless of form.]

7. **Position Classification Files – Federal Employees.**

- a. Position Classification Standards Files.
 - (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

Cut off when superseded or determined obsolete. Destroy 75 years after cutoff. (N1-434-98-4(7a(1)))
 - (2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.
 - (a) Case file.

Cut off when position is abolished or description is superseded. Destroy 75 years after cut off. (N1-434-98-4(7a(2)(a)))
 - (b) Review File.

Destroy when 2 years old. [GRS 1, item 7.a2(b)]
Rescinded per GRS Transmittal 28
- b. Position Descriptions. (N1-434-98-4(7b))

Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 75 years after position is abolished or description is superseded.
- c. Survey Files. (GRS 1, item 7c)
 - (1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.
Rescinded per GRS Transmittal 28
 - (2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded
Rescinded per GRS Transmittal 28
- d. Appeals Files. (GRS 1, item 7d)

- (1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

Superseded by GRS 2.1, Item 030 (DAA-GRS-2014-0002-0004)

- (2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

Superseded by GRS 2.1, Item 040 (DAA-GRS-2014-0002-0005)

7.1 Contractor Job Classification Manuals.

Records describing tasks associated with jobs and reflect the procedures and training required to accomplish them.

- a. For jobs relating to the handling of hazardous, toxic, or radioactive materials; radiation safety or critically safety; or any job where chronic exposure may have had an impact.

Dispose in accordance with item 1.1 of this schedule. (N1-434-89-1(3a))

- b. For all other jobs.

Destroy 2 years after position is abolished. (N1-434-89-1(3b))

8. Interview Records. (GRS 1, item 8)

Correspondence, reports, and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

Superseded by GRS 2.1, Item 090 (DAA-GRS-2014-0002-0008)

9. Performance Rating Board Case Files. (GRS 1, item 9)

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

Superseded by GRS 2.2, Item 072 (DAA-GRS-2017-0007-0010)

10. Temporary Individual Employee Records. (GRS 1, item 10)

- a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for the disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records.
Superseded by GRS 2.2, Item 041 (DAA-GRS-2017-0007-0005)

- b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency.
Superseded by GRS 2.2., Item 041 (DAA-GRS-2017-0007-0007)

11. Position Identification Strips - Federal. (GRS 1, item 11)

Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete.

[NOTE: Effective December 31, 1994, the SF 7D became obsolete.]

Rescinded per GRS Transmittal 28

12. Employee Awards Files. (GRS 1, item 12) [See Note after item 12.d] **Items 12a thru 12d superseded by GRS 2.2, Item 030, (DAA-GRS-2017-0007-0003)**

- a. General awards records, EXCLUDING those relating to departmental and corporate level awards.

- (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Destroy 2 years after approval or disapproval.

- (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

Destroy when 2 years old.

- b. Length of service and sick leave awards files.

Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Destroy when 1 year old.

- c. Letters of commendation and appreciation.

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Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the employee's formal personnel file.

Destroy when 2 years old.

- d. Lists or indexes to agency award nominations.

Lists of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete.

[NOTE: Records relating to Department level (example: Fermi, Lawrence and Nobel nominees) and corporate level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. Incentive Awards Program Reports. (GRS 1, item 13)

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old.

Rescinded per GRS Transmittal 28

14. Notifications of Personnel Actions. (GRS 1, item 14)

Items a and b superseded by GRS 2.2, Item 050 (DAA-GRS-2017-0007-0006)

Federal (Standard Form 50) and corporate notification of all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the formal personnel file.

- a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old.

- b. All other copies maintained in personnel offices.

Destroy when 1 year old.

15. RESERVED. (GRS 1, item 15)

16. Personnel Operations Statistical Reports. (GRS 1, item 16)

Statistical reports in the operating personnel office and subordinate units relating to personnel.

Destroy when 2 years old.

Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)

17. Correspondence and Forms Files. (GRS 1, item 17)

Operating personnel office records relating to individual employees not maintained in formal personnel file and not provided for elsewhere in this schedule.

- a. Correspondence and forms relating to pending personnel actions.

Destroy when action is completed.

Superseded by GRS 2.2, Item 050 (DAA-GRS-2017-0007-0006)

- b. Retention registers and related records.

- (1) Registers and related records used to effect reduction-in-force actions.

Destroy when 2 years old.

Superseded by GRS 2.5, Item 011 (DAA-GRS-2014-0004-0002)

- (2) Registers from which no reduction-in-force actions have been taken and related records.

Destroy when superseded or obsolete.

Superseded by GRS 2.5, Item 010 (DAA-GRS-2014-0004-0001)

- c. All other correspondence and forms.

Destroy when 6 months old.

Superseded by GRS 2.2, Item 010 (DAA-GRS-2017-0007-0001)

18. Supervisors' Personnel Files and Duplicates of Formal Personnel Files Documentation. (GRS 1, item 18)

Items a and b superseded by GRS 2.2, Item 080 (DAA-GRS-2017-0007-0012)

- a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the formal personnel file.

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

- b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old.

19. Individual Non-Occupational Health Record Files. (N1-434-98-4(19))

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 75 years after date of last entry.

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

- a. If information is summarized on statistical report.

Destroy 3 months after last entry. (GRS 1, item 20a)

Superseded by GRS 2.7, Item 010 (DAA-GRS-2017-0010-0001)

- b. If information is not summarized.

Destroy 75 years after last entry. (N1-434-98-4(20b))

20.1 Contractor Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

- EPI a. If information is summarized on statistical report.

Destroy 3 months after last entry. (N1-434-89-1(4c(1)))

- b. If information is not summarized

Destroy 75 years after last entry. (N1-434-98-4(20.1(b)))

21. Federal Employee Medical Folder (EMF). (See Note after item 21c)

- a. Long-term medical records as defined in 5 CFR Part 293, Subpart E. (GRS 1, item 21a)

- (1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

(2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. (N1-434-98-4(21a(2)))

b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM).

Cut off and place in inactive file after separation or transfer of employee. Destroy 75 years after cutoff. (N1-434-98-4(21.b))

EPI c. Individual employee Health Case Files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to FRC. (GRS 1(21c))

[**NOTE:** Electronic master files and data bases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

d. Unidentified and Deteriorated Medical X-rays.

Unidentified X-ray films and those in advanced stages of decomposition that can neither be interpreted nor copied and may be hazardous to human health.

Destroy immediately. (N1-434-01-1(1))

21.1 Contractor Employee Medical Folder (EMF)

a. Individual Health Case Files. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit, including records of exposure to noise, toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program. Also includes pre-placement physical examinations and disability retirement and fitness for duty examinations.

Dispose of in accordance with item 1.1 of this schedule. (N1-434-89-1(4a))

- b. Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Destroy 75 years after date of last entry. (N1-434-98-4(21.1b))

21.2 Records Concerning Personnel Exposure to Hazardous Concentrations of Toxic Chemicals and Other Materials.

Records (including correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files.

- a. Standards, operating guides and procedures, including revisions and background records that establish or relate to establishing operating practices.

Permanent. Cut off at the close of the fiscal year. Transfer to NARA 25 years after cutoff. (NCI-430-76-9(5a))

- EPI b. Operating plans for specific jobs within the scope of the above established operating practices.

Destroy when purpose is served or when 1 year old, whichever is earlier. (NCI-430-76-9(5b))

- c. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Hazard case file (item 21.4 below), whenever possible.

Cut off at the close of the fiscal year in which the employee left employment. Destroy 75 years after cutoff. (NCI-430-76-9(5c))

- d. Industrial hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.

- (1) Surveys indicating no industrial hazard.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NCI-430-76-9(5d(1)))

- (2) Surveys indicating a potential industrial hazard.

Cut off when the facility is dismantled. Destroy 75 years after cutoff. (N1-434-98-4(21.2d(2)))

21.3 Radiation Contamination Control Program Records.

This series includes correspondence concerning or documenting accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation contamination control program; excludes individual employee files.

- a. Personnel exposure dose record concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma and neutron radiation as determined by personnel radiation monitors or by estimates based on radiation dose instruments.

- (1) Results of equipment calibration establishing the authenticity of the above dose results.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NCI-430-76-9(4a(1)))

- (2) Automatic data processing system programs, codes, instruction tapes and discs if used for retrieval of item (a) above.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff. (NCI-430-76-9(4a(2)))

EPI

- (3) Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, automatic data processing system input records, other information used in interim calculations or to verify that recorded data is correct (such as checksheets), film badges and statistical summaries duplicating the above exposure data.

Destroy when the exposure record has been verified and approved, or after 1 year, whichever is earlier. (NCI-430-76-9(4a(3)))

- b. Technical standards, operating guides, laboratory, operating and radiation contamination control procedures describing the technical and administrative basis for the radiation contamination protection program.

- (1) Historical file or standards, guides and procedures, including revisions and background records defining philosophy in development, methods of evaluation and mode and scope of radiation contamination protection efforts.

Permanent. Cut off the file at the close of the fiscal year.
Transfer to NARA in five year blocks 25 years after cutoff.
(NCI-430-76-9(4c(1)))

EPI

- (2) Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.

Destroy when purpose has been served or after 1 year,
whichever is earlier. (NCI-430-76-9(4c(2)))

- c. Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings and similar items.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.
(NCI-430-76-9(4d))

- d. Routine radiation and contamination surveys and air sample logs, including resulting laboratory analyses and equipment calibration, indicating no unusual health or safety problems.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.
(NCI-430-76-9(4e))

- e. Recorder chart records of radiation and contamination detected by air activity monitors (gaseous and particulate) ionization chambers.

- (1) Records directly relating to the workplace.

Cut off at the close of the fiscal year. Destroy 75 after cutoff.
(N1-434-98-4(21.3e(1)))

- EPI (2) Other records.

Destroy when purpose has been served or when 3 months old,
whichever is earlier. (NCI-430-76-9(4f))

- f. Reports and engineering studies of unusual radiation or contamination problems.

Cut off at the close of the fiscal year. Destroy 100 years after cutoff. (NCI-430-76-9(4g))

- g. Radiation detection instrument calibration.

- (1) Records relating to the calibration and inspection of instruments used in the detection and recording of radiation against sources of known radioactive emission or dose rate.

- (a) History of procedures indicating criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of radiation detection instruments and equipment.

Destroy when 75 years old. (NCI-430-79-9(1a))

- (b) Report instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.

Destroy when purpose is served or when 1 year old, whichever is earlier. (NCI-430-79-9(1b))

- (2) Radiation detection charts used with alarm systems to record radiation in excess of established guides in production plant areas, provided unusual radiation data are posted to other records which are retained. (See item 21.3a of this schedule.)

Destroy when the purpose has been served or when 75 years old. (NCI-430-76-9(7))

21.4 Individual Employee Health Hazard Case Files.

Individual employee radiation exposure history files (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include:

- a. Records of skin and nasal contamination incidents, including decontamination details. (NCI-430-76-9(4b(1)))

- b. Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used. (NCI-430-76-9(4b(2)))
- c. Results of direct measurement of radiation from the chest, specific organs, or whole body. (NCI-430-76-9(4b(3)))
- d. Investigations of the following types: (NCI-430-76-9(4b(4)))
 - (1) Assimilation of radiation from the chest, specific organs, or whole body.
 - (2) Assimilations of radioactive materials in excess of standards and control guides.
 - (3) Missing or unusual data concerning exposure of personnel to radiation.
 - (4) Radiation exposures exceeding quarterly to yearly exposure guides and standards.
- e. Records of bioassay data.
 - (1) Including positive laboratory results on bioassay samples (urine, feces, and blood) used to determine internal assimilation by an individual or a radionuclide. (NCI-430-76-9(4b(5)(a)))
 - (2) Laboratory results indicating no assimilation of radioactive materials. (NCI-430-76-9(4b(5)(a)))

Cut off at the end of the fiscal year in which the employee leaves employment. Destroy when 75 years old.

21.4.1 Bioassay schedules, worksheets, automated data system input records. (NCI-430-76-9(4b(5)(c)))

Until purpose is served or 1 year, whichever is earlier.

21.5 Personnel (Federal and Contractor) Radiation Exposure Dose Records (Film Badges) (NI-434-96-4(1))

Records document the periodic radiation doses measured on employees, visitors, guides and guests. Each employee or guest working in areas with ionizing radiation wears a film badge on the upper torso. Periodically, the film badge is read and the radiation dose is calculated and recorded. The individual then receives a new film badge for the ensuing period.

Cut off at the end of the fiscal year and transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. Destroy when 75 years old.

22. Statistical Summaries. (N1-434-98-4(22))

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Cut off annually. Destroy 75 years after date of summary or report.

23. Employee Performance File System Records. [See note after item 23b(4).] (GRS 1, item 23)

a. Non-SES appointees [as defined in 5 USC 4301(2)].

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

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

Superseded by GRS 2.2, Item 071 (DAA-GRS-2017-0007-0009)

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

Destroy when superseded.

Superseded by GRS 2.2, Item 073 (DAA-GRS-2017-0007-0011)

- (3) Performance-related records pertaining to a former employee.

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

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.

Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)

- (b) All other performance plans and ratings.

Destroy when 4 years old.

Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)

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

Destroy 4 years after date of appraisal.

Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)

- (5) Supporting documents.

Destroy 4 years after date of appraisal.

Superseded by GRS 2.2, Item 070 (DAA-GRS-2017-0007-0008)

b. SES appointees [as defined in 5 USC 3132a(2)].

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

Destroy when superseded.

Superseded by GRS 2.2, Item 073 (DAA-GRS-2017-0007-0011)

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

Items 2 thru 4 superseded by GRA 2.2, Item 072 (DAA-GRS-2017-0007-0010)

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

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

- (b) All other performance ratings and plans.

Destroy when 5 years old.

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

Destroy 5 years after date of appraisal.

- (4) Supporting documents.

Destroy 5 years after date of appraisal.

[**NOTE:** Performance records pertaining to Presidential appointees are not covered by this item. Such records must be scheduled by submitting a SF 115 to NARA.]

24. Reasonable Accommodation Request Records. (GRS 1, item 24)

Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from under the Rehabilitation Act of 1973, Executive Order 13164, and the Americans with Disabilities Act of 1990. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

- Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;
- Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and
- Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

a. General Files

Procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying interested parties of the reasonable accommodation request and processing procedures as well as modifications to established procedures.

Destroy three years after supercession or when no longer needed for reference whichever is later.

Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)

b. Employee Case Files

Individual employee files that are created, received, and maintained by reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, assistive technologies administrator, or human resources specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, emails, records of oral conversations, medical documentation, and notes.

Destroy three years after employee leaves employment or all appeals are concluded whichever is later.

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]
Superseded by GRS 2.3, Item 020 (DAA-GRS-2018-0002-0002)

c. Supplemental Files

Records created, received, and maintained by reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve human resources matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, emails, notes.

Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.

[**Note:** These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]
Superseded by GRS 2.3, Item 020 (DAA-GRS-2018-0002-0002)

d. Tracking System

Records and data created, received, and maintained for purposes of tracking compliance.

Delete/destroy three years after compliance report is filed or when no longer needed for reference.
Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)

25. **Equal Employment Opportunity (EEO) Records.** (GRS 1, item 25)

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a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Destroy 4 years after resolution of case.

Superseded by GRS 2.3, Items 110 or 111 (DAA-GRS-2018-0002-0012 and 0013)

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

Rescinded per GRS Transmittal 28

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old.

Superseded by GRS 2.3, Item 110 (DAA-GRS-2018-0002-0012)

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old.

Superseded by GRS 2.3, Item 120 (DAA-GRS-2018-0002-0014)

(2) EEO Compliance Reports.

Destroy when 3 years old.

Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Rescinded per GRS Transmittal 28

Destroy when 1 year old.

- f. Employment Statistics Files. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old.

[**NOTE:** Electronic master files and databases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]
Superseded by GRS 5.7, Item 050 (DAA-2017-0008-0005)

- g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)

- h. EEO Affirmative Action Plans (AAP).

Items 1 thru 4 Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)

- (1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan.

- (2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

- (3) Report of on-site reviews of Affirmative Action Programs.

Destroy 5 years from date of report.

- (4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report.

26. Personnel Counseling Records. (GRS 1, item 26)

EPI a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling.

Superseded by GRS 2.7, Item 091 (DAA-GRS-2017-0010-0015)

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old.

Superseded by GRS 2.7, Item 080 (DAA-GRS-2017-0010-0013)

27. Alternative Dispute Resolution (ADR) Files. (GRS 1, item 27)

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an ADR program in resolving disputes with or between its own employees.

[**NOTE:** This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in ADM 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the overall ADR program.

Destroy when 3 years old. Longer retention is authorized if records are needed for agency business.

Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Destroy 3 years after settlement is implemented or case is discontinued.

Superseded by GRS 2.3, Items 070 or 071 (DAA-GRS-2018-0002-0007 and 0008)

28. Labor Management Relations Records. (GRS 1, item 28)

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement.

Superseded by GRS 2.3, Item 130 (DAA-GRS-2018-0002-0015)

(2) Other offices.

Destroy when superseded or obsolete.

Superseded by GRS 2.3, Item 130 (DAA-GRS-2018-0002-0015)

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case.

Superseded by GRS 2.3, Item 090 (DAA-GRS-2018-0002-0010)

28.1 Contractor Labor Management Relations Records.

(N1-434-98-4(28.1))

Correspondence, meeting minutes, reports, background papers and other such records relating to contractor labor management negotiations and labor agreements.

Maintain in accordance with the contract or destroy 10 years after the termination of the contract with the Department of Energy, whichever is sooner.

29. Federal Employee Training Records.

EXCLUDING records of formally established schools that train agency employees in specialized program areas, such as law enforcement and national defense. (See note after item 29.b and item 29.2 below.)

a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency. (GRS 1, item 29)

EPI

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program.

Superseded by GRS 2.6 Item 010 (DAA-GRS-2016-0014-0001)

- (2) Background and working files.

Destroy when 3 years old.

Superseded by GRS 2.6, Item 010 (DAA-GRS-2016-0014-0001)

- b. Employee training. (N1-434-98-4(29b))

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Destroy 75 years after superseded or obsolete.

[**NOTE:** Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

29.1 Contractor Employee Individual Training Folders.

- EPI a. Contractor employee individual folders that contain ONLY the following documents:

- (1) On-the-job training checklist completed during qualification, including the results of final written examination used for qualification or certification; records of oral examinations given for qualifications or certification; simulator/operational evaluation records; new employee indoctrination/orientation checklists; and reports of exemptions to these documents; (N1-434-88-1(1a))
- (2) Checklists completed for recertification, including the results of written examinations given for recertification; and records or oral examinations given for recertification; (N1-434-88-1(1b))
- (3) Documentation of qualification for on-time-only special tests and operations; and (N1-434-88-1(1c))
- (4) Results of medical examinations (only pass/fail and restrictions); balance of results are to be retained in the medical file. (N1-434-88-1(1d))

Cut off at the time of separation or transfer of the employee. Screen out and destroy all item 29.1a(4) records. Transfer folders with remaining

documents to the local Federal Records Center. Destroy 4 years after cutoff.

- b. Contractor employee individual folders that contain item 29.1a records AND also contain: attendance/completion records of training courses or sessions that include subjects dealing with hazardous materials directly applicable to the employee's job or position.

Cut off at the time of separation or transfer of the employee. Screen out and destroy all item 29.1a(4) records. Transfer folders with remaining documents to the local Federal records center. Destroy 75 years after cutoff. (N1-434-88-1(2))

29.2 Administrative Training Records.

- a. Administrative training records such as description of course content, examination banks, examination cover sheets, content, attendance rosters, documentation of required performance items and course lesson plans.

- (1) For courses relating to the handling of hazardous, toxic or radioactive materials, radiation safety or criticality safety, or any training where chronic exposure may have an impact.

Transfer to a Federal records center after last session. Destroy 75 years after last session. (N1-434-88-1(3a))

- (2) For courses relating to environmental safety and health topics.

Transfer to a Federal records center after last session. Destroy 75 years after transfer. (No SF115 found)

- (3) For all other courses.

Transfer to a Federal records center after last session. Destroy 2 years after last session. (N1-434-88-1(3b))

- b. Drill guides/scenarios.

Destroy when superseded or obsolete. Do not transfer to a Federal records center. (N1-434-88-1(4))

- c. Correspondence on the establishment, administration, and availability of a course.

Destroy 2 years after last session. Do not transfer to a Federal records center. (N1-434-88-1(5))

- d. Course training aids.

Destroy when superseded or obsolete. Do not transfer to a Federal records center. (NI-434-88-1(6))

30. Administrative Grievance, Disciplinary, and Adverse Action Files. (GRS 1, item 30)

- a. Administrative Grievance Files.

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Cut off at the close of the case. Destroy 4 years after cutoff.
Superseded by GRS 2.3, Item 060 (DAA-GRS-2018-0002-0006)

- b. Adverse Action Files and Performance-Based Actions.

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Cut off at the close of the case. Destroy 4 years after cutoff.
Superseded by GRS 2.3, Item 060 (DAA-GRS-2018-0002-0006)

31. Personal Injury Files. (NI-434-98-4(31))

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 75 years after cutoff.

32. Merit Promotion Case Files. (GRS 1, item 32)

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

Superseded by GRS 2.1, Item 050 (DAA-GRS-2017-0011-0002)

33. Examining and Certification Records. (GRS 1, item 33)

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

EPI a. Delegated agreements.

Destroy 3 years after termination of agreement.

Superseded by GRS 2.1, Item 150 (DAA-GRS-2014-0002-0021)

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence includes, but is not limited to, correspondence from Congress, the White House, and the general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

c. Correspondence or notices received from eligibles indicating a change in name, address or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

Rescinded per GRS Transmittal 28

e. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

EPI f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating

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procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

- g. Register or inventory of eligibles (OPM Form 5001-C or equivalent) documenting eligibility of an individual for Federal jobs.

Destroy 2 years after the date on which the register of inventory is terminated.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

- h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff.

Rescinded per GRS Transmittal 28

- i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

- j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff.

Superseded by GRS 2.1, Item 070 (DAA-GRS-2014-0002-0012)

- k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff.

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

- l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Items 1 & 2 superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

- (1) On active register or inventory.

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Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).

- (2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off.

- m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Cut off annually. Destroy 2 years after cutoff.

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

- n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 2 years after cutoff.

Superseded by GRS 2.1, Item 060 (DAA-GRS-2014-0002-0011)

- o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff.

Superseded by GRS 2.1, Item 080 (DAA-GRS-2014-0002-0013)

- p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

- q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff.

Superseded by GRS 2.1, Items 050 or 051 (DAA-GRS-2017-0011-0001 and 0002)

- r. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility.
Superseded by GRS 2.3, Item 030 (DAA-GRS-2018-0002-0003)
 - s. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off.
Superseded by GRS 2.3, Item 010 (DAA-GRS-2018-0002-0001)
 - t. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report.
Superseded by GRS 2.1, Item 160 (DAA-GRS-2014-0002-0022)
- 34. Occupational Injury and Illness Files.** (N1-434-98-4(34))
- Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.
- Destroy when 75 years old.
- 35. Denied Health Benefits Requests Under Spouse Equity.** [See note after item 35.b(2)]
- Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.
- a. Health benefits denied, not appealed.

Destroy 75 years after denial. (N1-434-98-4((35a))
 - b. Health benefits denied, appealed to OPM for reconsideration.
 - (1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the **FEHB Handbook**. [GRS 1, item 35b(1)]
Rescinded per GRS Transmittal 28
 - (2) Appeal unsuccessful - benefits denied.

Destroy 75 years after denial. (N1-434-98-4(35b(2)))
- [NOTE: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels

the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING 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). (GRS 1, item 36)

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).] (GRS 1, item 36a)

Superseded by GRS 2.7, Item 100 (DAA-GRS-2017-0010-0016)

- b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).] (GRS 1, item 36b)

Superseded by GRS 2.7, Item 110 (DAA-GRS-2017-0010-0017)

- c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).] (GRS 1, item 36c)

Superseded by GRS 2.7, Item 100 (DAA-GRS-2017-0010-0016)

- d. Records relating to the collection and handling of specimens.

(1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Superseded by GRS 2.7, Item 120 (DAA-GRS-2017-0010-0018)

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).] [GRS 1, item 36d(1)]

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).]
[GRS 1, item 36d(2)]

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

Cut off when the individual leaves employment. Destroy 5 years after cutoff. (N1-434-98-4(36e(1)))

(2) Negative results.

Destroy when 3 years old. [GRS 1 item 36e(2)]

[**NOTE:** (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by ADM 1, item 30b, which authorizes destruction of records 4 after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

37. Donated Leave Program Case Files. (GRS 1, item 37)

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Destroy 1 year after the end of the year in which the file is closed.
Superseded by GRS 2.4, Item 071 (DAA-GRS-2016-0015-0009)

38. Wage Survey Files. (GRS 1, item 38)

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Destroy after completion of second succeeding wage survey.
Superseded by GRS 2.4, Item 080 (DAA-GRS-2016-0015-0010)

39. Retirement Assistance Files. (GRS 1, item 39)

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.
Superseded by GRS 2.5, Item 020 (DAA-GRS-2014-0004-0003)

40. Handicapped Individuals Appointment Case Files. (GRS 1, item 40)

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case.
Superseded by GRS 2.4, Item 110 (DAA-GRS-2014-0002-0018)

41. Federal Pay Comparability Records. (GRS 1, item 41)

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.
Superseded by GRS 2.4, Item 090 (DAA-GRS-2016-0015-0011)

42. Alternate Worksite Records. (GRS 1, item 42)

- a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Destroy 1 year after end of employee's participation in the program.

Superseded by GRS 2.3, Item 040 (DAA-GRS-2018-0002-0004)

- b. Unapproved requests.

Destroy 1 year after request is rejected

Superseded by GRS 2.3, Item 040 (DAA-GRS-2018-0002-0004)

- c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later.

Superseded by GRS 2.3, Items 010 and 040 (DAA-GRS-2018-0002-0001 and 0004)

42.1 Withdrawn

43. Employee Concerns Program.

Employee concerns Program Case Files that serve to document employee allegations of impropriety or inadequacy of DOE and/or contractor managed activities. Subjects include, but are not strictly limited to; environmental, safety, and health related issues, fraud, waste and abuse; personnel and management matters; quality, securing conditions, or incidents of retaliation, etc. Supporting documentation includes employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, or employees of the Department of energy, or relevant contractor entities.

- a. Official Employee Concerns Program Files.

- (1) Concerns relating to security, environmental, safety, and health-related issues.

Cut off at the close of the fiscal year in which the case was closed.

Destroy 75 years after cutoff. (N1-434-98-4(43a(1)))

- (2) All other concerns.

Cut off at the close of the fiscal year in which the case was closed.

Destroy 4 years after cutoff. (N1-434-98-4(43a(2)))

- b. Records documenting concerns that do not develop into official cases.

- (1) Security-related concerns. (N1-434-98-4(43b(1)))

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

- (2) All other concerns. (N1-434-98-4(43b(2)))

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

44. Academic/Outreach Programs.

Records created to document educational outreach program transactions between the Department and its contractors and schools, colleges/universities, community groups, and various State and Federal agencies for the purpose of generating and tracking interest in careers with the DOE and its contractors.

- a. Records kept for tracking the impact of these educational programs on the people involved and for measuring the success rate of each program.

Cut off at the end of the fiscal year. Destroy 25 years after cutoff.
(N1-434-98-4(44a))

- b. Contract or funding information based on the following: Memoranda of Understanding with schools/colleges, grants, scholarships and budget information.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff or project completion. (N1-434-98-4(44b))

- c. Records containing contact information with schools and community groups regarding internship programs, tutoring programs, talent searches, scholastic tournaments, Young Entrepreneurs Conference, Junior Engineering Technical System (JETS), Gore Initiative Students Around the World, teacher development, computer loan/buyout programs and other educational programs. (N1-434-98-4(44c))

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- d. General administrative records that document teacher/student development, progress reports, and correspondence between DOE/contractor and outside academic organizations.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is earlier. (N1-434-98-4(44d))

45. Apprenticeship Program Files.

Apprenticeship program files consist of external training classroom and practical instruction records and reports of progress such as correspondence, testing and evaluations and other pertinent information developed during the apprenticeship term.

- a. Files of employees who successfully complete all aspects of apprenticeship program. ((N1-434-98-4(45a))

Cut off at separation or transfer of employee. Destroy 4 years after cutoff.

- b. Files of employees who terminate or are terminated from the program prior to completion. (N1-434-98-4(45b))

Cut off at termination. Destroy 10 years after cutoff.

46. Tuition Reimbursement Records. (N1-434-98-4(46))

Records relating to tuition reimbursements for employees taking part in a tuition assistance program offered by the employers. The tuition reimbursement is provided for work related undergraduate, certificate, and graduate level courses taken at an accredited college, university or vocational school. The records consist of original, signed tuition request forms, notification of grades, proofs of payments, and related correspondence.

Cut off at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.

47. Vacancy Announcements (as created and maintained in personnel offices). (N1-434-98-4(47))

Information used to notify employee population of the availability of a particular job opening. Postings contain general description of duties, requirements, salary range, and cutoff date for accepting employment applications.

Cut off at the end of the fiscal year. Destroy 1 year after cutoff.

48. Recruitment Packages. (N1-434-98-4(48))

Packet containing original promotional material, blank forms giving investigative authorization, and general philosophy, benefits, and other incentives.

Cut off at the end of the fiscal year. Destroy when 3 years old or when superseded or canceled, whichever is earlier.

49. Prehire Test Files.

Prehire test files consist of, but are not limited to, written and practical job-skill/proficiency pass/fail tests administered by labor management personnel to measure suitability for hire. Includes pre-placement physical examinations.

- a. Successful prehire applicant test files where an offer of employment was made.

Destroy 2 years after date of test. (N1-434-98-4(49a))

- b. Successful prehire applicant test files where no employment offer was made.

Destroy 2 years after date of test. (N1-434-98-4(49b))

- c. Unsuccessful prehire applicant test.

Destroy 1 year after date of test. (N1-434-98-4(49c))

50. Individual Development Plans. (N1-434-98-4(50))

Documentation of individuals' goals, objectives, and strategy for enhancing skills. Plans are updated annually.

Cut off at the end of the fiscal year. Destroy when superseded or when an employee departs.

51. Classification Appraisals (Pay). (N1-434-98-4(51))

Files which document the comparison of salaries paid locally and nationally to established salary percentage increase, comparative grade studies, guidelines, and justification base for employee performance assessments.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff or when superseded or obsolete.

52. Seniority Rosters.

Seniority rosters which document and establish effective service dates for union employees, and are used to determine seniority for the annual job bidding process.

- a. Labor Relations Office file. (N1-434-98-4(52a))

Destroy 10 years after expiration of related labor agreement.

- b. Other offices. (N1-434-98-4(52b))

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is earlier.

53. Certification/Decertification. (N1-434-98-4(53))

These files document meeting minutes, correspondence, and other records documenting contractors' actions relating to the response to union membership organizing drives.

Destroy 10 years after expiration of related labor agreement.

54. Unemployment Compensation Records. (N1-434-98-4(54))

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearing which may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

Cut off upon termination of employment. Destroy 3 years after cut off.

55. Directories/Phone Listing.

Record set of personnel listing identifying location, organization, phone number, assigned employee number, mail stop, or other information used for communication purposes.

- a. When issued as a published document.

Destroy hardcopy when 75 years old. (N1-434-98-4(55a))

- b. When issued electronically, prior to updating, reduce to hardcopy.

Destroy hardcopy when 75 years old. (N1-434-98-4(55b))

- c. All others.

Destroy when superseded. (N1-434-98-4(55c))