

## Request for Records Disposition Authority

Records Schedule Number      DAA-0434-2015-0010  
Schedule Status                Approved  
  
Agency or Establishment        National Nuclear Security Administration  
Record Group / Scheduling Group    General Records of the Department of Energy  
Records Schedule applies to        Major Subdivision  
Major Subdivision                Naval Nuclear Propulsion Program (NNPP)  
Schedule Subject                Personnel Management and Support  
Internal agency concurrences will be provided      No

Background Information            The Personnel Management and Support records in this schedule document activities needed to manage and support site personnel. These activities include recruitment, hiring, training, workforce development and planning, exposure and health monitoring, the application of incentive programs and disciplinary measures, and the provision of benefits and compensation (i.e., salaries and wages). The records include, but are not limited to, employee agreements and acknowledgement forms, training materials, exposure monitoring reports, bioassay and medical test results, records compiled on individual employees, and various reports on personnel matters created to prove compliance with federal requirements.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
38	0	38	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0434-2015-0010

Sequence Number	
1	<b>Acknowledgement Forms</b> Disposition Authority Number: DAA-0434-2015-0010-0001
2	<b>Badge, New Hire, and Other Employee Photographs</b> Disposition Authority Number: DAA-0434-2015-0010-0002
3	<b>Career Development Resources</b> Disposition Authority Number: DAA-0434-2015-0010-0003
4	<b>Dispensary Logs</b> Disposition Authority Number: DAA-0434-2015-0010-0004
5	<b>Equal Employment Opportunity (EEO) Program</b> Disposition Authority Number: DAA-0434-2015-0010-0005
6	<b>Internal Newsletters</b> Disposition Authority Number: DAA-0434-2015-0010-0006
7	<b>Job Applicants (Unselected)</b> Disposition Authority Number: DAA-0434-2015-0010-0007
8	<b>Medical Services</b> Disposition Authority Number: DAA-0434-2015-0010-0008
9	<b>Recruiting</b> Disposition Authority Number: DAA-0434-2015-0010-0009
10	<b>Retirement Benefits and Insurance Assistance</b> Disposition Authority Number: DAA-0434-2015-0010-0010
11	<b>Training - Administration of General Training</b> Disposition Authority Number: DAA-0434-2015-0010-0011
12	<b>Employee / Employment Issues</b> Disposition Authority Number: DAA-0434-2015-0010-0012
13	<b>Special Pay and Awards Programs</b> Disposition Authority Number: DAA-0434-2015-0010-0013
14	<b>Nondisclosure Agreements</b> Disposition Authority Number: DAA-0434-2015-0010-0014
15	<b>Non-Occupational Health Records</b> Disposition Authority Number: DAA-0434-2015-0010-0015
16	<b>Occupational Safety and Health</b> Disposition Authority Number: DAA-0434-2015-0010-0016
17	<b>Temporary Employment Agreements</b> Disposition Authority Number: DAA-0434-2015-0010-0017

18	Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security) Disposition Authority Number: DAA-0434-2015-0010-0018
19	Employee Training Files Disposition Authority Number: DAA-0434-2015-0010-0019
20	Personnel Records - Other Disposition Authority Number: DAA-0434-2015-0010-0020
21	Training – Administration of Skills Based Training Disposition Authority Number: DAA-0434-2015-0010-0021
22	Contractor Compensation Approvals Disposition Authority Number: DAA-0434-2015-0010-0023
23	Grievances Disposition Authority Number: DAA-0434-2015-0010-0024
24	Job Classification (Non-Hazardous Positions) Disposition Authority Number: DAA-0434-2015-0010-0025
25	Labor Relations Disposition Authority Number: DAA-0434-2015-0010-0026
26	Special Training Programs Disposition Authority Number: DAA-0434-2015-0010-0027
27	Special Training Programs Planning and Accreditation Disposition Authority Number: DAA-0434-2015-0010-0028
28	Claims–General Liability and Workers Compensation (Non-Radiological) Disposition Authority Number: DAA-0434-2015-0010-0029
29	General Liability Insurance Disposition Authority Number: DAA-0434-2015-0010-0030
30	Claims–Workers Compensation (Radiological) Disposition Authority Number: DAA-0434-2015-0010-0031
31	Employee Concerns (Environmental, Health, Safety, and Security) Disposition Authority Number: DAA-0434-2015-0010-0032
32	Employment Files Disposition Authority Number: DAA-0434-2015-0010-0033
33	Job Classifications (Hazardous Positions) Disposition Authority Number: DAA-0434-2015-0010-0034
34	On-the-Job Injuries Disposition Authority Number: DAA-0434-2015-0010-0035
35	Personnel Qualifications Disposition Authority Number: DAA-0434-2015-0010-0036
36	Training - Administration of Safety Training

37	Disposition Authority Number: DAA-0434-2015-0010-0037 Workers Compensation / Employers Liability Insurance Disposition Authority Number: DAA-0434-2015-0010-0038
38	Medical Files Disposition Authority Number: DAA-0434-2015-0010-0039

## Records Schedule Items

Sequence Number		
1	<b>Acknowledgement Forms</b>	
	Disposition Authority Number	DAA-0434-2015-0010-0001
	<b>User acknowledgements and agreements, e.g., need-to-know forms and safeguarding of confidential information.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Manual Citation	Manual Title
	5-01-01	
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff: When superseded or obsolete.
	Retention Period	Destroy immediately after superseded or obsolete.
	<b>Additional Information</b>	
	GAO Approval	Not Required
2	<b>Badge, New Hire, and Other Employee Photographs</b>	
	Disposition Authority Number	DAA-0434-2015-0010-0002
	<b>Employee photographs used for identification.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Manual Citation	Manual Title

5-01-02	
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**Disposition Instruction**

Cutoff Instruction                      Cutoff: When superseded or obsolete.  
Retention Period                        Destroy immediately after superseded or obsolete.

**Additional Information**

GAO Approval                              Not Required

**Career Development Resources**

Disposition Authority Number        DAA-0434-2015-0010-0003

Various resources developed to identify and support the skill set all employees are expected to demonstrate regardless of job function. Also includes questionnaires completed by employees on a voluntary basis to document their near and long-term employment objectives and plans for reaching those objectives.

Final Disposition                        Temporary

Item Status                                Active

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        No

Manual Citation	Manual Title
5-01-03	

**Disposition Instruction**

Cutoff Instruction                      Cutoff: When superseded or obsolete.  
Retention Period                        Destroy immediately after superseded or obsolete.

**Additional Information**

GAO Approval                              Not Required

**Dispensary Logs**

Disposition Authority Number        DAA-0434-2015-0010-0004

Sign-in sheets and other control records reflecting number of visits to the Medical Clinic.

Final Disposition                        Temporary

Item Status                                Active

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Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-02-01	

GRS or Superseded Authority Citation **GRS 1, item 20a**

**Disposition Instruction**

Cutoff Instruction **Cutoff: End of fiscal or calendar year.**

Retention Period **Destroy 1 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval **Not Required**

**Equal Employment Opportunity (EEO) Program**

Disposition Authority Number **DAA-0434-2015-0010-0005**

**General EEO files that may include reports and plans generated annually to document program compliance, and complaints and inquiries that do not develop into official discrimination cases.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-03-01	

**Disposition Instruction**

Cutoff Instruction **Cutoff: End of fiscal or calendar year.**

Retention Period **Destroy 5 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval **Not Required**

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**Internal Newsletters**

Disposition Authority Number      **DAA-0434-2015-0010-0006**

**Issued either to all employees or by organizational units.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered  
by this item currently exist in  
electronic format(s) other than e-  
mail and word processing?          **No**

Manual Citation	Manual Title
5-03-02	

**Disposition Instruction**

Cutoff Instruction                      **Cutoff: End of fiscal or calendar year.**

Retention Period                      **Destroy 3 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval                          **Not Required**

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**Job Applicants (Unselected)**

Disposition Authority Number      **DAA-0434-2015-0010-0007**

**Files on job applicants who are not hired, including offers, résumés, interview notes, and refusals.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered  
by this item currently exist in  
electronic format(s) other than e-  
mail and word processing?          **No**

Manual Citation	Manual Title
5-03-03	

**Disposition Instruction**

Cutoff Instruction                      **Cutoff: End of fiscal or calendar year.**



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Retention Period Destroy 3 year(s) after end of fiscal or calendar year.

**Additional Information**

GAO Approval Not Required

**Medical Services**

Disposition Authority Number DAA-0434-2015-0010-0008

Documents medical services provided to employees, including alcohol and drug abuse program records, ambulance service reports, drug test results (negative), and drug testing schedules. Medical Services do not include the Individual Medical Files, which are covered elsewhere in the schedule.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-03-04	

**Disposition Instruction**

Cutoff Instruction Cutoff: End of fiscal or calendar year.

Retention Period Destroy 3 year(s) after end of fiscal or calendar year.

**Additional Information**

GAO Approval Not Required

9

**Recruiting**

Disposition Authority Number DAA-0434-2015-0010-0009

Includes records for external applicants; records for unselected applicants; and temporary files set up for job postings for internal candidates only. Records include acceptance letters/declinations, college transcripts, employment applications and résumés, interview evaluations, job requisitions, offer letters, and salary verifications. Materials relating to hired candidate are removed and retained in personnel folders.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-03-05	

**Disposition Instruction**

Cutoff Instruction **Cutoff: End of fiscal or calendar year.**  
Retention Period **Destroy 3 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval **Not Required**

**Retirement Benefits and Insurance Assistance**

Disposition Authority Number **DAA-0434-2015-0010-0010**

**Supports employee or survivor claims for insurance or retirement benefits.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-03-06	

**Disposition Instruction**

Cutoff Instruction **Cutoff: End of fiscal or calendar year.**  
Retention Period **Destroy 3 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval **Not Required**

**Training - Administration of General Training**

Disposition Authority Number **DAA-0434-2015-0010-0011**

**Administration of general training programs, including all-hands annual training, diversity, ethics and integrity, Leaders Forum, new hire or manager, and project**

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management. Training records for handling of hazardous, toxic, or radioactive materials and environmental safety and health topics are covered elsewhere in the schedule.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-03-07	

**Disposition Instruction**

Cutoff Instruction Cutoff: End of fiscal or calendar year.

Retention Period . Destroy 3 year(s) after end of fiscal or calendar year.

**Additional Information**

GAO Approval Not Required

**Employee / Employment Issues**

Disposition Authority Number DAA-0434-2015-0010-0012

Records of employees and employment issues that are not included in individual personnel files. Records may include move/relocation authorizations and tuition reimbursement records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-04-02	

**Disposition Instruction**

Cutoff Instruction Cutoff: End of fiscal or calendar year.

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Retention Period Destroy 7 year(s) after end of fiscal or calendar year.

Additional Information

GAO Approval Not Required

Special Pay and Awards Programs

Disposition Authority Number DAA-0434-2015-0010-0013

Documentation of performance-based awards. Records include compensation program requests and approvals, deferred compensation program records, incentive awards program reports, Incentive Pay Program (IPP) reports, and Superior Performance Outstanding Teamwork (SPOT) award records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-04-03	

Disposition Instruction

Cutoff Instruction Cutoff: End of fiscal or calendar year.

Retention Period Destroy 7 year(s) after end of fiscal or calendar year.

Additional Information

GAO Approval Not Required

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Nondisclosure Agreements

Disposition Authority Number DAA-0434-2015-0010-0014

Agreements signed by employees acknowledging they will not disclose classified information.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

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Manual Citation	Manual Title
5-05-01	

GRS or Superseded Authority Citation      **DAA-GRS-2015-0002-0003**

**Disposition Instruction**

Cutoff Instruction      **Cutoff: End of fiscal or calendar year.**

Retention Period      **Destroy 80 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval      **Not Required**

**Non-Occupational Health Records**

Disposition Authority Number      **DAA-0434-2015-0010-0015**

**Pertain to visits to and services received from a medical unit for non work-related purposes, including blood tests, flu vaccine consents, and Pre-Hospital Care Reports.**

Final Disposition      **Temporary**

Item Status      **Active**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

Manual Citation	Manual Title
5-05-02	

**Disposition Instruction**

Cutoff Instruction      **Cutoff: End of fiscal or calendar year.**

Retention Period      **Destroy 80 year(s) after end of fiscal or calendar year.**

**Additional Information**

GAO Approval      **Not Required**

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**Occupational Safety and Health**

Disposition Authority Number      **DAA-0434-2015-0010-0016**

**Reports and logs required to document all recordable occupational injuries and illnesses.**

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-05-03	

**Disposition Instruction**

Cutoff Instruction Cutoff: End of fiscal or calendar year.  
 Retention Period Destroy 80 year(s) after end of fiscal or calendar year.

**Additional Information**

GAO Approval Not Required

**Temporary Employment Agreements**

Disposition Authority Number DAA-0434-2015-0010-0017

Contracts, usually with retirees, for temporary employment. Records are generally not filed in the official personnel folders but are relevant to employment verification for benefits and Social Security.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-05-04	

**Disposition Instruction**

Cutoff Instruction Cutoff: End of fiscal or calendar year.

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Retention Period Destroy 80 year(s) after end of fiscal or calendar year.

**Additional Information**

GAO Approval Not Required

**Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security)**

Disposition Authority Number DAA-0434-2015-0010-0018

Documentation of counseling sessions and follow-up work in support of employee concerns, including allegations of discrimination. The records consist of interviews, analyses, and copies of official records maintained in personnel records, including letters of disciplinary actions.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-06-01	

GRS or Superseded Authority Citation GRS 1, item 25a  
GRS 1, item 26a

**Disposition Instruction**

Cutoff Instruction Cutoff: Employee separation.

Retention Period Destroy 7 year(s) after employee separation.

**Additional Information**

GAO Approval Not Required

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**Employee Training Files**

Disposition Authority Number DAA-0434-2015-0010-0019

Employee files documenting training that is mandatory for an individual to perform assigned work. Records may consist of proficiency testing results, physical training qualifications, and medical release forms. Training records for handling hazardous, toxic, or radioactive materials; radiation safety; or criticality safety are covered elsewhere in the schedule.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-06-02	

**Disposition Instruction**

Cutoff Instruction Cutoff: Employee separation.  
 Retention Period Destroy 5 year(s) after employee separation.

**Additional Information**

GAO Approval Not Required

**Personnel Records - Other**

Disposition Authority Number DAA-0434-2015-0010-0020

Records created on individual employees, but not required to be retained in the Employment File. Examples may include annual performance appraisals, positive drug test results, reasonable accommodation cases, and unemployment compensation records.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-06-04	

**Disposition Instruction**

Cutoff Instruction Cutoff: Employee separation.  
 Retention Period Destroy 5 year(s) after employee separation.

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**Additional Information**

GAO Approval **Not Required**

**Training – Administration of Skills Based Training**

Disposition Authority Number **DAA-0434-2015-0010-0021**

Records of training programs for employees with specialized skills, including description of course content, examination banks, examination cover sheets, documentation of required performance, and course lesson plans. Training records for the handling of hazardous or radiological materials are covered elsewhere in the schedule.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-06-04	

**Disposition Instruction**

Cutoff Instruction **Cutoff: When superseded or obsolete.**

Retention Period **Destroy 5 year(s) after superseded or obsolete.**

**Additional Information**

GAO Approval **Not Required**

22

**Contractor Compensation Approvals**

Disposition Authority Number **DAA-0434-2015-0010-0023**

DOE Form 3220.5, documenting the application for and approval of salary adjustments and merit increases above the current thresholds.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

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Manual Citation	Manual Title
5-07-02	

**Disposition Instruction**

Cutoff Instruction                      Cutoff: Application is approved.  
Retention Period                        Destroy 10 year(s) after application is approved.

**Additional Information**

GAO Approval                            Not Required

**Grievances**

Disposition Authority Number        DAA-0434-2015-0010-0024

Documentation of grievance actions, including grievances that go to arbitration. Records include witness statements, interview reports, documentation of decisions, related correspondence and exhibits, and records relating to a reconsideration request.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        No

Manual Citation	Manual Title
5-07-03	

**Disposition Instruction**

Cutoff Instruction                      Cutoff: Case is closed.  
Retention Period                        Destroy 7 year(s) after case is closed.

**Additional Information**

GAO Approval                            Not Required

**Job Classification (Non-Hazardous Positions)**

Disposition Authority Number        DAA-0434-2015-0010-0025

Position descriptions, including specific tasks associated with the position and required training and education, where the positions described are not associated with handling hazardous, toxic, or radioactive materials.

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Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-07-04	

**Disposition Instruction**

Cutoff Instruction Cutoff: Position is abolished.  
 Retention Period Destroy 10 year(s) after position is abolished.

**Additional Information**

GAO Approval Not Required

**Labor Relations**

Disposition Authority Number DAA-0434-2015-0010-0026

Records relating to labor unions, including documentation of the response to union membership drives. May include contract and union negotiation files, general labor relations files, labor relations agreements, rate reviews, seniority rosters, and strike plans.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-07-05	

**Disposition Instruction**

Cutoff Instruction Cutoff: Drive ends unsuccessfully or union contract is terminated.

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Retention Period Destroy 10 year(s) after drive ends unsuccessfully or union contract is terminated.

Additional Information

GAO Approval Not Required

Special Training Programs

Disposition Authority Number DAA-0434-2015-0010-0027

Files maintained on individuals in special training programs documenting their progress and completion, including coursework, homework assignments, exams, grades, and problem-solving reports. Also applies to individual training/qualification records of Navy/civilian students and Navy personnel who are enrolled in the training program to qualify as nuclear plant operators.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-07-06	

Disposition Instruction

Cutoff Instruction Cutoff: Student completes or leaves program.

Retention Period Destroy 10 year(s) after student completes or leaves program.

Additional Information

GAO Approval Not Required

27

Special Training Programs Planning and Accreditation

Disposition Authority Number DAA-0434-2015-0010-0028

Records documenting the strategic direction and legal basis for special training programs administered by the NR Program. Includes agreements with degree-granting universities, and applies to records of advanced engineering programs, leadership development programs, and other special programs.

Final Disposition Temporary

Item Status Active

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Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-07-07	

**Disposition Instruction**

Cutoff Instruction **Cutoff: End of training program.**

Retention Period **Destroy 10 year(s) after end of training program.**

**Additional Information**

GAO Approval **Not Required**

**Claims—General Liability and Workers Compensation (Non-Radiological)**

Disposition Authority Number **DAA-0434-2015-0010-0029**

**Pertains to the administration of insurance claims and the coordination of claims with the insurance carrier. Also includes records of inquiries and investigations relating to compensation proposed or paid on a claim.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-08-01	

GRS or Superseded Authority Citation **GRS 1, item 31**

**Disposition Instruction**

Cutoff Instruction **Cutoff: Case is closed.**

Retention Period **Destroy 30 year(s) after case is closed.**

**Additional Information**

GAO Approval **Not Required**

29

**General Liability Insurance**

Disposition Authority Number      **DAA-0434-2015-0010-0030**

**Consists of policies and supporting documentation for coverage of anyone who comes into contact with Prime Contractor operations or employees while on company business but is not employed by the contractor. Third parties include site neighbors, supplier personnel, visitors, and government personnel.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

Manual Citation	Manual Title
5-08-02	

**Disposition Instruction**

Cutoff Instruction                      **Cutoff: Last case against the policy is closed.**

Retention Period                        **Destroy 30 year(s) after last case against the policy is closed.**

**Additional Information**

GAO Approval                            **Not Required**

**Claims--Workers Compensation (Radiological)**

Disposition Authority Number      **DAA-0434-2015-0010-0031**

**Case files documenting the administration of claims through an insurance carrier.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

Manual Citation	Manual Title
5-09-02	

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GRS or Superseded Authority Citation      GRS 1, item 31

Disposition Instruction

Cutoff Instruction      Cutoff: Case is closed.

Retention Period      Destroy 80 year(s) after case is closed.

Additional Information

GAO Approval      Not Required

Employee Concerns (Environmental, Health, Safety, and Security)

Disposition Authority Number      DAA-0434-2015-0010-0032

Document employee allegations of impropriety or inadequacy in relation to environmental, safety, and health-related issues.

Final Disposition      Temporary

Item Status      Active

Is this item media neutral?      Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

Manual Citation	Manual Title
5-09-03	

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Disposition Instruction

Cutoff Instruction      Cutoff: Case is closed.

Retention Period      Destroy 80 year(s) after case is closed.

Additional Information

GAO Approval      Not Required

Employment Files

Disposition Authority Number      DAA-0434-2015-0010-0033

Folders arranged by individual employees which include records of all personnel and pay actions, résumés, employment application, professional references, college transcripts (if applicable), offer letter, acceptance letter, employment agreements, applicant correspondence, and total employment date calculation.

Final Disposition      Temporary

Item Status      Active

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-09-04	

**Disposition Instruction**

Cutoff Instruction **Cutoff: Employee separation.**

Retention Period **Destroy 80 year(s) after employee separation.**

**Additional Information**

GAO Approval **Not Required**

**Job Classifications (Hazardous Positions)**

Disposition Authority Number **DAA-0434-2015-0010-0034**

**Position descriptions 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 an impact on the employee.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
5-09-05	

GRS or Superseded Authority Citation **GRS 1, item 31**

**Disposition Instruction**

Cutoff Instruction **Cutoff: Position is abolished.**

Retention Period **Destroy 80 year(s) after position is abolished.**

**Additional Information**

GAO Approval **Not Required**

33



34

**On-the-Job Injuries**

Disposition Authority Number      DAA-0434-2015-0010-0035

Accident, illness, and injury investigations and reports relating to an individual, excluding legal files created and maintained by legal counsel, insurance claim files, and employee medical records.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

Manual Citation	Manual Title
5-09-06	

GRS or Superseded Authority Citation      GRS 1, item 31

**Disposition Instruction**

Cutoff Instruction                      Cutoff: Case is closed.

Retention Period                        Destroy 80 year(s) after case is closed.

**Additional Information**

GAO Approval                            Not Required

35

**Personnel Qualifications**

Disposition Authority Number      DAA-0434-2015-0010-0036

Files that document the completion of training that individual employees must take to perform work pertaining to handling hazardous materials. Employee and visitor training records compiled pursuant to NNPP radiological controls and radiation health manuals are covered elsewhere in the schedule.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No

Manual Citation	Manual Title

36

5-09-07	
Disposition Instruction	
Cutoff Instruction	Cutoff: Employee separation.
Retention Period	Destroy 80 year(s) after employee separation.
Additional Information	
GAO Approval	Not Required
Training - Administration of Safety Training	
Disposition Authority Number	DAA-0434-2015-0010-0037
Training material for classes concerning handling hazardous materials or any training where chronic exposure may have an impact. Documents may include description of course content, examination banks, examination cover sheets, documentation of required performance and course lesson plans. Certification training for work regulated by the Radiological Controls Program pursuant to NNPP radiological controls and radiation health manuals is covered elsewhere in the schedule	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No

Manual Citation	Manual Title
5-09-08	

37

Disposition Instruction	
Cutoff Instruction	Cutoff: When superseded or obsolete.
Retention Period	Destroy 80 year(s) after superseded or obsolete.
Additional Information	
GAO Approval	Not Required
Workers Compensation / Employers Liability Insurance	
Disposition Authority Number	DAA-0434-2015-0010-0038
Consists of policies and supporting documentation, including endorsements, proposals, reports, studies, and analysis.	

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-09-09	

**Disposition Instruction**

Cutoff Instruction Cutoff: Last case against the policy is closed.  
 Retention Period Destroy 80 year(s) after last case against the policy is closed.

**Additional Information**

GAO Approval Not Required

**Medical Files**

Disposition Authority Number DAA-0434-2015-0010-0039

Files compiled on each member of the general employee population by a site medical clinic or other health organization. These records are maintained separately from exposure history records created under radiological control procedures, which are covered elsewhere in the schedule.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
5-10-01	

**Disposition Instruction**

Cutoff Instruction Cutoff: Employee separation.  
 Retention Period Destroy 150 year(s) after employee separation.

38

Additional Information

GAO Approval

Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
10/23/2015	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
03/11/2016	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/06/2016	Submit For Certification	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
06/06/2016	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
08/29/2016	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/02/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/06/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

EXISTING ITEM	ITEM DESCRIPTION	EXISTING RETENTION	NEW ITEM NO.	NEW ITEM DESCRIPTION	NEW ITEM RETENTION
GRS 21, Item 2.	Personnel Identification or Passport Photographs	5 yrs or when superseded or obsolete, whichever is later	0002	002 Badge, New Hire, or Other Employee Photographs	When superseded or obsolete
DOE ADM 1, Item 50. (N1-434-98-4, item 50)	Individual Development Plans	When superseded or an employee departs	0003	003 Career Development Resources	When superseded or obsolete
GRS 1, Item 20a.	Health Unit Control Files—if information is summarized on statistical report	3 mos after last entry	0004	001 Dispensary Logs	1 yr
GRS 1, Item 25.c.(2)	EEO—Records documenting complaints that do not develop into Official Discrimination Complain Cases	2 yrs	0005	0001 Equal Employment Opportunity (EEO) Program	5 yrs
GRS 1, Item 25.d.(2)	EEO—Compliance Reports	3 yrs	0005	0001 Equal Employment Opportunity (EEO) Program	5 yrs
GRS 1, Item 25.g.	EEO General Files	3 yrs	0005	001 Equal Employment Opportunity (EEO) Program	5 yrs
DOE ADM 16, Item 1.1.1.b. (N1-434-01-8, item 1.1.1)	Internal publications—all other copies	2 yrs or when no longer needed	0006	002 Internal Newsletters	3 yrs
DOE ADM 1, Item 47. (N1-434-98-4, item 47)	Vacancy Announcements	1 yr	0007	003 Job Applicants (Unselected)	3 yrs
N1-434-91-8, Item 1.1.3 a.	Physical examination records of applicants not hired.	1 yr	0007	003 Job Applicants (Unselected)	3 yrs
GRS 1, Item 26.b.	Records created in planning, coordinating, and directing an alcohol and drug abuse program	3 yrs	0008	004 Medical Services	3 yrs

GRS 1, Item 36.d.(2)	Federal Workplace Drug Testing Program Files—Chain of custody over specimen records	3 yrs	0008	004 Medical Services	3 yrs
DOE ADM 1, Item 36.e.(1) N1-434-98-4, item 36(e)1	Federal Workplace Drug Testing Program Files—Negative results	3 yrs	0008	004 Medical Services	3 yrs
DOE ADM 18, Item 11.4.e.	Ambulance service reports	3 yrs	0008	004 Medical Services	3 yrs
DOE ADM 1, Item 32, GRS item 32	Merit Promotion Case Files	After OPM audit or 2 years after personnel action is complete, whichever is sooner	0009	005 Recruiting	3 yrs
GRS 2.5, item 020 (DAA-GRS-2014-0004-0003)	Retirement Assistance Files	1 yr	0010	006 Retirement Benefits and Insurance Assistance	3 yrs
DOE ADM 1, Item 29.2.a.(3) (N1-434-88-1, item 3b)	Administrative Training Records—For all other courses not covered under (1) or (2)	2 yrs after last session	0011	007 Training—Administration of General Training	3 yrs
GRS 21, Item 3.b	Training materials (audiovisual) that do not reflect the mission responsibilities of the Department	1 yr after completion of the training program	0011	007 Training—Administration of General Training	3 yrs
GRS 21, item 14.	Programs (video recordings) acquired from outside sources for personnel and management training	1 yr after completion of training program	0011	007 Training—Administration of General Training	3 yrs
DOE ADM 1, Item 46 (N1-434-98-4, item 46)	Tuition Reimbursement Records	6 yrs 3 mos	0012	002 Employee / Employment Issues	7 yrs
GRS 1, item 12.a(1)	General Awards Records	2 years after approval or disapproval	0013	005 Special Pay and Awards Programs	7 yrs
DAA-GRS-2015-0002-0003	Classified Information Nondisclosure Agreements maintained separately from the individual's personnel folder	50 yrs	0014	001 Nondisclosure Agreements	80 yrs
N1-434-98-4, item 19	Individual Non-Occupational Health Record Files	75 yrs after date of last entry	0015	002 Non-Occupational Health Records	80 yrs

GRS 1, Item 34.	Occupational injury and illness reports and logs	75 yrs	0016	003 Occupational Safety and Health	80 yrs
N1-434-98-28, Item 1.b.(5)(b)	Occupational Safety and Health Administration (OSHA) records, National Institute of Occupational Safety and Health (NIOSH) records, hazard and accident analysis records, Criticality Safety Analysis/Approval records, Health	30 yrs	0016	003 Occupational Safety and Health	80 yrs
N1-434-98-5, Item 28	Reports, registers, or other control documents, and other records relating to retirement.	75 yrs after receipt of OPM acceptance of annual summary	0017	004 Temporary Employment Agreements	80 yrs
GRS 1, Item 25.a.	EEO-Official Discrimination Complaint Case Files	4 yrs after resolution of case	0018	001 Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security)	7 yrs after final event
GRS 1, Item 26.a.	Personnel Counseling Files	3 yrs after termination of counseling	0018	001 Employee Concerns and Counseling (not relating to Environment, Health, Safety, and Security)	7 yrs after final event
N1-434-98-4, item 43a(2)	Employee concerns not relating to security, environmental, safety, and health-related issues	4 yrs after case is closed	0018	001 Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security)	7 yrs after final event
N1-434-98-4, item 43.b.(1)	Records documenting security-related concerns that do not develop into official cases	4 yrs	0018	001 Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security)	7 yrs after final event
N1-434-98-4, item 43.b.(2)	Records documenting concerns other than those relating to security that do not develop into official cases	2 yrs	0018	001 Employee Concerns and Counseling (not relating to Environment, Health, Safety, or Security)	7 yrs after final event



N1-434-98-4, Item 29.1.a.	Contractor Employee Individual Training Folders—not including records of training on subjects dealing with hazardous materials directly applicable to the employee's job or position	4 yrs after employee separation	0019	002 Employee Training Files	5 yrs after final event
N1-434-91-8, Item 1.1.1.c.	Welder, Weight Operator, and Non-destructive Test Inspection Personnel Qualification Records	Maintain record of the current and preceding qualification periods (Qualification periods are 3-5 yrs)	0019	002 Employee Training Files	5 yrs after final event
GRS 1, Item 10.b.	Immigration and Naturalization Service Form I-9	3 yrs after employee separates	0020	004 Personnel Records—Other	5 yrs after final event
GRS 1, Item 24.b.	Reasonable Accommodation Request Records—General Files	3 yrs after superseded or when no longer needed	0020	004 Personnel Records—Other	5 yrs after final event
GRS 1, Item 36.e.(1)	Federal Workplace Drug Testing Program Files—Positive results	5 yrs after individual leaves employment	0020	004 Personnel Records—Other	5 yrs after final event
N1-434-98-4, Item 54.	Unemployment Compensation Records	3 yrs after termination of employment	0020	004 Personnel Records—Other	5 yrs after final event
N1-434-88-1, Item 3(b)	Administrative Training Records—For all other courses not covered under (1) or (2)	2 yrs after last session	0021	005 Training—Administration of Skills Based Training	5 yrs after final event
DOE ADM 18, Item 11.4.g.	Auxiliary brigade attendance and training records	1 yr	0021	005 Training— Administration of Skills Based Training	5 yrs after final event
GRS 1, Item 28.b.	Labor Arbitration General and Case Files	5 yrs after final resolution of case	0023	003 Grievance Arbitration	7 yrs after final event
GRS 1, Item 30.a.	Administrative Grievance Files	4 yrs after close of case	0023	003 Grievances	7 yrs after final event
GRS 1, Item 30.b.	Adverse Action Files and Performance-Based Actions	4 yrs after close of case	0023	003 Grievances	7 yrs after final event
GRS 1, Item 7.b.	Position Descriptions	5 years after position is abolished or description is superseded	0025	004 Job Classifications (Non-Hazardous Positions)	10 yrs after final event
N1-434-89-1, item 3b.	Contractor Job Classification Manuals for all other jobs	Contractor Job Classification Manuals for all other jobs	0025	004 Job Classifications (Non-Hazardous Positions)	10 years after final event
GRS 1, Item 28.a.(1)	Labor Management Relations General and Case Files—Office negotiating agreement	5 yrs after expiration of agreement	0025	005 Labor Relations	10 yrs after final event

N1-434-98-4, Item 28.1.	Contractor Labor Management Relations Records	10 yrs after the termination of the contract	0025	005 Labor Relations	10 yrs after final event
N1-434-98-4, Item 52.a.	Seniority Rosters in Labor Relations office file	10 yrs after expiration of related labor agreement	0025	005 Labor Relations	10 yrs after final event
N1-434-98-4, Item 53.	Certification/Decertification	10 yrs after expiration of related labor agreement	0025	005 Labor Relations	10 yrs after final event
N1-434-91-8, Item 1.1.1.a.	Training and Qualification Records—Nuclear Plant Operators	10 yrs	0027	006 Special Training Programs	10 yrs after final event
GRS 1, item 31	Personnel Injury Files	Termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.	0028	008 Claims - General Liability and Workers Compensation (Non-Radiological)	30 years after case is closed
N1-434-98-4, Item 43.a.(1)	Employee concerns relating to security, environmental, safety, and health-related issues	75 yrs after case is closed	0031	003 Employee Concerns and Counseling (Environmental, Health, Safety, and Security)	80 yrs after final event
N1-434-89-1, item 1	Individual Personnel Files of Managing & Operating Contractor Employees	Destroy 75 years after cutoff.	0032	004 Employment Files	80 yrs after final event
GRS 1, Item 6.	Employee Record Cards	75 yrs after separation or transfer of employee	0032	004 Employment Files	80 yrs after final event
N1-434-98-4, Item 21.1.b.	Contractor Employee Medical Folder—Individual Health Record Files	75 yrs after date of last entry	0032	004 Employment Files	80 yrs after final event
NC1-430-76-9, Item 5c	Records and investigations establishing the extent of employee exposure to toxic chemicals and materials	75 yrs after employee leaves employment	0032	004 Employment Files	80 yrs after final event
GRS 1, item 7.b.	Position Descriptions	2 years after position is abolished or description is superseded	0033	005 Job Classifications (Hazardous Positions)	80 yrs after final event
N1-434-98-4, Item 7.1.a.	Contractor Job Classification Manuals for jobs relating to the handling of hazardous, toxic, or radioactive materials; radiation safety or criticality safety; or any job where chronic exposure may have had an impact	Dispose of in accordance with item GRS 1.1a and GRS 1.1b	0034	005 Job Classifications (Hazardous Positions)	80 yrs after final event
GRS 1, Item 31.	Personal Injury Files	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off.	0035	006 On-the-Job Injuries	80 yrs after final event

N1-434-88-1, Item 2	Contractor Employee Individual Training Folders—including records of training on subjects dealing with hazardous materials directly applicable to the employee's job or position	75 yrs after separation	0035	007 Personnel Qualifications	80 yrs after final event
N1-434-88-1, Item 3a	Administrative Training Records—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	75 yrs after last session	0036	008 Training—Administration of Safety Training	80 yrs after final event
N1-434-88-1, Item 3b	Administrative Training Records—For courses relating to environmental safety and health topics	75 yrs after last session	0036	008 Training—Administration of Safety Training	80 yrs after final event
N1-434-91-8, Item 1.1.1.b.	Training and Qualification Records—Hazardous Waste Management	75 yrs after facility closure	0036	008 Training—Administration of Safety Training	80 yrs after final event
N1-434-98-4, Item 21b	Contractor Health Unit Control Files- Individual Health Case Files	Dispose of in accordance with DOE ARS 1.1.1. [75 years after separation]	0038	001 Medical Files	150 yrs after final event