

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2020-0010
Schedule Status Approved

Agency or Establishment Department of Energy
Record Group / Scheduling Group General Records of the Department of Energy
Records Schedule applies to Agency-wide
Schedule Subject DEPARTMENT OF ENERGY - Records Disposition Schedule: DOE 2.2: Employee Management Records

Internal agency concurrences will be provided No

Background Information Records created or received while carrying out the work of civilian (Federal) and contractor employee management: managing employee performance, creating and maintaining personnel and workforce planning.

NOTE: Refer to GRS 2.2 for all other civilian (Federal) employee management records not addressed in this schedule.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0434-2020-0010

Sequence Number	
1	Employee Cards – Legacy Records Disposition Authority Number: DAA-0434-2020-0010-0001
2	Personnel Office Correspondence (Contractor) Disposition Authority Number: DAA-0434-2020-0010-0002
3	Official Personnel Files (Contractor) Disposition Authority Number: DAA-0434-2020-0010-0003
4	Employee Incentive Award Records (Federal and Contractor)
4.1	Employee Incentive Awards (Federal) Disposition Authority Number: DAA-0434-2020-0010-0004
5	Employee Performance File System Records – Presidential Appointees Disposition Authority Number: DAA-0434-2020-0010-0005

not maintained or described elsewhere in this schedule. Note: Supersedes N1-434-98-1 / 1/A in part. Exclusion: Excludes any correspondence pertaining to or required to be maintained in the Contract File.

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? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 2.2, item 020	Contractor Personnel Office Correspondence

GRS or Superseded Authority Citation N1-434-89-1 / 2
N1-434-92-4 / 1
N1-434-92-4 / 7
N1-434-98-1 / 1/A
N1-434-92-4 / 10

Disposition Instruction

Retention Period Destroy when 6 years old.

Additional Information

GAO Approval Not Required

Official Personnel Files (Contractor)

Disposition Authority Number DAA-0434-2020-0010-0003

The official contractor employee's personnel file for contractor employees, which documents an individual's employment history while performing work at a DOE facility, a facility under DOE management, and/or under a DOE contract. Records may include, but are not limited to: • job description(s) • resume • job application • background investigation • personnel and payroll actions • life and health coverages • military service documents • awards and commendations • performance evaluations • employment agreements • recruitment, relocation and retention incentive packages Note: This item is derived from Individual Personnel Files (N1-434-89-1 / 1) to differentiate between the personnel records of full time federal employees and those of contractors. Note: Contractor personnel records

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are needed longer to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.

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? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 2.2, item 030	Contractor Employee Personnel Files

Disposition Instruction

Retention Period Destroy 250 year(s) after employee separates from DOE Contract

Additional Information

GAO Approval Not Required

Employee Incentive Award Records (Federal and Contractor)
Employee incentive award records include but are not limited to: • recommendations • approved nominations • supporting documentation • disapproved recommendations • correspondence about awards • reports about cash and nonmonetary awards • awards from other Federal agencies or non-Federal organizations, including former employees Note 1: GRS 2.2, item 030 excludes Department level awards, which are combined with cash and time off awards, which are needed longer to support the Office of Inspector Generals (OIG) mission of preventing fraud, waste and abuse in DOE programs and operations. Exclusion: Employee award files for nonmonetary items conferred in connection with informal recognition awards of \$50.00 or less (GRS 2.2, item 030).

Employee Incentive Awards (Federal)

Disposition Authority Number DAA-0434-2020-0010-0004

Employee awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum special act awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes department-level awards and correspondence about awards from other Federal agencies or non-Federal organizations and to former employees. Note 1: Records are needed

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longer to support the Office of Inspector General's (OIG) mission of preventing fraud, waste, and abuse in DOE programs and operations. Note 2: GRS 2.2, item 030 excludes department-level awards, requiring an agency-specific schedule. Utilize GRS 2.2, item 030 for nonmonetary items conferred in connection with informal recognition awards of \$50.00 or less. Note 3: Approved cash and time off award SF50s (or similar) are maintained in the Official Personnel Folder (OPF)/ electronic OPF (eOPF) (DOE 2.2, item 015).

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? Yes
Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
DOE 2.2, item 040	Employee Incentive Awards (Federal)

Disposition Instruction

Retention Period Destroy when 10 years old.

Additional Information

GAO Approval Not Required

Employee Performance File System Records – Presidential Appointees

Disposition Authority Number DAA-0434-2020-0010-0005

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system. Performance records for presidential appointees. Note: GRS 2.2, items 070, 071, 72 and 073 requires performance records of presidential appointees to have an agency 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? Yes

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
DOE 2.2, item 050	Employee Performance File System Records – Presidential Appointees

Disposition Instruction

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

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
04/09/2021	Return to Submitter	Maria Levesque	Departmental Records Officer	OCIO - Records Management
05/20/2021	Certify	Maria Levesque	Departmental Records Officer	OCIO - Records Management
06/08/2022	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/27/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/27/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/03/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office

Department of Energy (DOE) 2.2: Employee Management Records

DOE Records Disposition Schedules (RDS)							
New DOE 2.2				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 2.2	010	250 years	DAA-0434-2020-0010-0001	ADM 1	2	75 years	N1-434-98-4, item 2b
				ADM 1	6	75 years	N1-434-98-4, item 6
				Las Vegas Contractor Schedule 1		60 years	N1-434-92-4, item, 11
DOE 2.2	015	250 years	DAA-GRS-2017-0007-0004	New Item <i>See FAQ for more details on item utilizing GRS authority with longer retention</i>			
DOE 2.2	020	6 years	DAA-0434-2020-0010-0002	ADM 1	3.1	In accordance with contract	N1-434-89-1, item 2
				Las Vegas Contractor Schedule 1		3 years	N1-434-92-4, item 1
						2 years	N1-434-92-4, item 7
						5 years	N1-434-92-4, item 10
Uranium Mill Tailings Remedial Action (UMTRA) Project		2 years	N1-434-98-1, item 1a (in part) <i>See FAQ for more details regarding in part</i>				
DOE 2.2	030	250 years	DAA-0434-2020-0010-0003	ADM 1	1.1	75 years	N1-434-89-1, item 1
DOE 2.2	040	10 years	DAA-0434-2020-0010-0004	New Item <i>See FAQ for more details on use of DOE 2.2, item 040 vs. GRS 2.2, item 030</i>			
DOE 2.2	050	7 years	DAA-0434-2020-0010-0005	New Item <i>See FAQ for more details on use of DOE 2.2, item 050 vs. GRS 2.2, item 070, 071, 072 and 073</i>			
DOE Records Disposition Schedules Cross-walked to the GRS							
GRS 2.2	050	Destroy when business use ceases. DOE Business Use: 3 years	DAA-GRS-2017-0007-0006	Personnel Action Tracking and Reporting Systems		3 years	DAA-0434-2015-0002-0001 (in part) See FAQ for more details regarding in part
GRS 2.2	071	1 year	DAA-GRS-2017-0007-0009	Las Vegas Contractor Schedule 1		5 years	N1-434-92-4, item 19a
GRS 2.2	073	Superseded	DAA-GRS-2017-0007-0011	Las Vegas Contractor Schedule 1		Superseded	N1-434-92-4, item 19b
GRS 2.2	120	Destroy when business use ceases. DOE Business Use: 2 years	DAA-GRS-2017-0007-0018	Las Vegas Contractor Schedule 1		2 years	N1-434-92-4, item 5a

Department of Energy (DOE) 2.2: Employee Management Records



General Record Schedules (GRS)

Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.

New GRS 2.2				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
GRS 2.2	010	3 years	DAA-GRS-2017-0007-0001	GRS 1	3	3 years	N1-GRS-81-10, item 1
				GRS 1	16	2 years	N1-64-77-10, item 16
				GRS 1	17c	6 months	NC1-64-77-10, item 17c
				GRS 9	5b	1 year	N1-GRS-91-1, item 5b
				GRS 9	5c (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
<i>Utilize DOE 2.2, item 020 for Personnel Office Correspondence (Contractors)</i>							
GRS 2.2	020	3 years	DAA-GRS-2017-0007-0001	New Item			
GRS 2.2	030	2 years	DAA-GRS-2017-0007-0001	GRS 1	12a1	2 years	NC1-64-77-10, item 12a1
				GRS 1	12a2	2 years	NC1-64-77-10, item 12a2
				GRS 1	12b	1 year	NC1-64-77-10, item 12b
				GRS 1	12c	2 years	NC1-64-77-10, item 12c
				GRS 1	12d	Superseded or obsolete	NC1-64-77-10, item 12d
<i>Utilize:</i> <ul style="list-style-type: none"> GRS 2.3, item 030 Employee incentive award records (Federal) for nonmonetary items conferred in connection with informal recognition awards of \$50.00 or less DOE 2.2, item 040 Employee Incentive Awards (Federal) not maintained in the Official Personnel Folder (OPF)/electronic OPF (eOPF) DOE 2.2, item 030 Official Contractor Personnel File for Employee Incentive Awards (Contractors) 							
GRS 2.2	040	129 years	DAA-GRS-2017-0007-0001	GRS 1	1b	65 years	N1-GRS-87-12, item 1b2
<i>Utilize DOE 2.2, item 015 Official Personnel Folder (OPF)/electronic OPF (eOPF)</i>							
GRS 2.2	041	Superseded or obsolete, or upon separation	DAA-GRS-2017-0007-0001	GRS 1	10a	Superseded or obsolete	N1-GRS-97-4, item 10a
GRS 2.2	050	When business use ceases DOE Business Use: 3 years	DAA-GRS-2017-0007-0001	GRS 1	14a	2 years	NC1-64-77-10, item 14a
				GRS 1	14b	1 year	NC1-64-77-10, item 14b
				GRS 1	17a	When action is completed	NC1-64-77-10, item 17a
GRS 2.2	060	3 years	DAA-GRS-2017-0007-0001	GRS 1	10b	3 years	N1-GRS-97-4, item 10b
GRS 2.2	070	4 years	DAA-GRS-2017-0007-0001	GRS 1	23a3a	Forward to gaining agency of 4 years	N1-GRS-95-3, item 23a3a
				GRS 1	23a3b	4 years	N1-GRS-98-2, item 2
				GRS 1	23a4	4 years	N1-GRS-95-3, item 23a4

Department of Energy (DOE) 2.2: Employee Management Records

General Record Schedules (GRS)							
Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.							
New GRS 2.2				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				GRS 1	23a5	4 years	N1-GRS-98-2, item 3
GRS 2.2	071	1 year	DAA-GRS-2017-0007-0001	GRS 1	23a1	1 year	N1-GRS-93-3, item 23a1
GRS 2.2	072	5 years	DAA-GRS-2017-0007-0010	GRS 1	9	1 year	NC1-64-77-10, item 9
				GRS 1	23b2a	Forward to gaining agency or 5 years	N1-GRS-88-3, item 23b2a
				GRS 1	23b2b	5 years	N1-GRS-98-2, item 4
				GRS 1	23b3	5 years	N1-GRS-82-2, item 23b3
GRS 2.2	073	Superseded	DAA-GRS-2017-0007-0011	GRS 1	23b4	5 years	N1-GRS-98-2, item 5
				GRS 1	23a2	Superseded	N1-GRS-93-3, item 23a2
GRS 2.2	080	Superseded or obsolete or 1 years	DAA-GRS-2017-0007-0012	GRS 1	23b1	Superseded	N1-GRS-82-2, item 23b1
				GRS 1	18a	Superseded or obsolete or 1 year	NC1-64-77-10, item 18a
GRS 2.2	090	3 years or upon separation	DAA-GRS-2017-0007-0013	GRS 1	18b	6 months	NC1-64-77-10, item 18b
				GRS 9	5a	3 years or upon separation	N1-GRS-91-1, item 5a
GRS 2.2	091	Superseded or obsolete	DAA-GRS-2017-0007-0014	GRS 21	2 (in part)	5 years or when superseded	N1-GRS-98-2, item 33 (in part)
				GRS 9	5c (in part)	Superseded or obsolete	N1-GRS-98-2, item 9 (in part)
GRS 2.2	092	Transfer to new agency or return to Department of State	N/A. Filing instruction	New Item			
GRS 2.2	100	3 years	DAA-GRS-2017-0007-0015	New Item			
GRS 2.2	110	4 years	DAA-GRS-2017-0007-0016	New Item			
GRS 2.2	111	1 year	DAA-GRS-2017-0007-0017	New Item			
GRS 2.2	120	When business use ceases DOE Business Use: 2 years	DAA-GRS-2017-0007-0018	New Item			
Rescinded				GRS 1	2a	60 years	NC1-GRS-78-2, item 1
				GRS 1	2b	3 years	NC1-64-77-10, item 2b
				N1-434-98-4, item 2b (ADM 1.2) was an approved deviation to GRS 1.2b See DOE RDS Crosswalk (above)			
				GRS 1	6	On separation	NC1-64-77-10, item 6
				N1-434-98-4, item 6 (ADM 1.6) was an approved deviation to GRS 1.6 See DOE RDS Crosswalk (above)			

Department of Energy (DOE) 2.2: Employee Management Records

General Record Schedules (GRS)

Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.

New GRS 2.2				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				GRS 1	13	3 years	NC1-64-77-10, item 13