

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

U.S. Department of Energy

2. MAJOR SUBDIVISION

Nevada Field Office

3. MINOR SUBDIVISION

Property/Info. Br., Info/Property MGT, DIV.

4. NAME OF PERSON WITH WHOM TO CONFER

JoAnna Jones  
Jim Kvoool

5. TELEPHONE

FTS 575-0821  
575-4061

LEAVE BLANK (NARA use only)

JOB NUMBER

NI-434-92-4

DATE RECEIVED

3-3-92

## NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

12-22-92

ARCHIVIST OF THE UNITED STATES



## 6. 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 on the attached \_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;

is attached; or

has been requested.

DATE

2/7/92

SIGNATURE OF AGENCY REPRESENTATIVE

C. L. Henley *C. L. Henley*

TITLE

Chief. Records and Reports Mgt. Br.,  
OFC. of IRM Policy, Plans, & Oversight

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	DOE Nevada Contractor Records Schedule 1, "Personnel/Human Resources Records"		

*Copies sent to Agency NCF 1/5/93*

**DOE/NV CONTRACTOR RECORD SCHEDULE 1**  
**PERSONNEL/HUMAN RESOURCES RECORDS**

ITEM #	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1	<p><u>Personnel/Human Resources Procedures.</u></p> <p>Management and operating documents relating to the general administration, procedures, and procedural changes of the personnel functions.</p>	<p>Destroy 3 years after last procedure update.</p>
<del>2</del>	<p><u>Official Personnel Files (P.A.).</u></p> <p>Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. May include, among other things, copy of all personnel and pay actions, life and health insurance coverage, appraisals, resumes, proof of residence, copy of background investigation (not the Questionnaire for Sensitive Positions or Standard Form 86, which is filed in Security offices), 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), <u>unless separate training records are kept in training activity.</u></p>	<p>Cut off file at time of separation. Transfer folders to local FRC in one-cubic foot increments. Destroy 75 years after cut off.  <u>N1-434-89-1</u></p>
<del>3</del>	<p><u>Personnel Office Records.</u></p> <p>Administrative and correspondence type files relating to general administration and operation of personnel functions not maintained in individual personnel files or elsewhere in this schedule.</p>	<p>Destroy in accordance with the terms of the contract. Do not transfer to Federal Records Center.  <u>N1-434-89-1</u></p>
<del>4</del>	<p><u>Job Classification Manuals.</u></p> <p>Records describing tasks associated with jobs and reflecting the procedures and training required to accomplish them.</p> <p>a. 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.</p>	<p>Cut off file at time of separation. Transfer folders to local FRC in one-cubic foot increments. Destroy 75 years after cut off.  <u>N1-434-89-1</u></p>

PERSONNEL/HUMAN RESOURCES RECORDS

ITEM #	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	b. For obs:	Destroy 2 years after position is abolished.
5	<u>Applications for Employment and Related Papers (P.A.).</u>	
	a. Applications evidencing skills which are in scarce supply.	Destroy when 2 years old.
	b. Applications which have been processed for the Q cleared hiring pool (individual not officially hired), who have been deleted from the pool, as well as all other related correspondence. (Applies to protective force personnel only.)	Destroy 5 years after deletion from Q cleared hiring pool.
	c. All other applications.	Destroy when 1 year old.
6	<u>Position Descriptions.</u>	
	Record copy of position descriptions which include information on duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or position is superseded. <u>GRS 1-7b</u>
7	<u>Personnel Status Reports</u>	
	Personnel status reports from the Operating Personnel Office and Subordinate Units Relating to Personnel Actions.	Destroy when 2 years old. <u>GRS 1-16</u>
8	<u>Wage and Salary Files.</u>	
	Consists of wage survey reports and data, working papers, and related correspondence concerning area wages paid for each employment class.	Destroy after completion of second succeeding wage survey.
9	<u>Offers of Employment Files (P.A.).</u>	
	Correspondence including letters and telegrams offering employment to potential employees.	
	a. Accepted offers.	File in the Official Personnel Folder. Destroy in accordance with Item #2 of this schedule.
	b. Declined offers.	Destroy when 1 year old.

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ITEM #	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
10	<p><u>Reduction-In-Force (P.A.).</u></p> <p>Reports, data, working papers, and related correspondence from which RIFs have been taken including correspondence and forms.</p>	<p>Destroy when 5 years old.</p>
11	<p><u>Service Record Cards (P.A.).</u></p> <p>Service Record Card (Standard Form 7 or equivalent).</p> <p>a. Cards for employee separated or transferred on or before December 31, 1947, or if Service Record Cards are the only available personnel record.</p> <p>b. Cards for employees separated or transferred on or after January 1, 1948.</p>	<p><i>Change of id by DOE as follows:</i></p> <p><i>"Do NOT RETIRE TO FRC UNLESS ONE cubic foot has accumulated. Destroy in Jan. 2023 or 60 years after action."</i></p> <p>Transfer to Federal Records Center. Destroy 75 years after earliest personnel action.</p> <p>Destroy 3 years after separation or transfer of employee.</p> <p><u>GRS 1-2b</u></p>
12	<p><u>Personnel Correspondence Files.</u></p> <p>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 Contractor staff planning levels.</p>	<p>Destroy when 3 years old.</p> <p><u>GRS 1-3</u></p>
13	<p><u>Employee Awards Files (P.A.).</u></p> <p>a. General awards records, EXCLUDING those relating to departmental level awards.</p> <p>(1) Case files including recommendations, approved nominations, correspondence, reports and related handbooks pertaining to Contractor-sponsored cash and noncash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.</p> <p>(2) Correspondence pertaining to awards from other Federal agencies or nonFederal organizations.</p>	<p><u>GRS 1-12</u></p> <p>Destroy 2 years after approval or disapproval.</p> <p>Destroy when 2 years old.</p>

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	<p>b. Length of Service and Sick Leave Awards Files.</p> <p>Records including correspondence, reports, computations of service and sick leave, and list of awardees.</p> <p>c. Letters of Commendation and Appreciation.</p> <p>Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.</p> <p>d. Lists or Indexes to Contractor Award Nominations.</p> <p>Lists of nominees and winners and indexes of nominations.</p>	<p>Destroy when 1 year old.</p> <p>Destroy when 2 years old.</p> <p>Destroy when superseded or obsolete.</p>
14	<p><u>Incentive Awards Program Reports</u></p> <p>Reports pertaining to the operation of the Incentive Awards Program.</p>	<p>Destroy when 3 years old.  <del>GRS 1-13</del></p>
15	<p><u>Supervisors' Personnel Files and Duplicate OPF Documentation (P.A.).</u></p> <p>a. Supervisors' Personnel Files.</p> <p>Correspondence, forms, and other records relating to positions, authorizations, pending actions, copies of position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.</p> <p>b. Duplicate Documentation.</p> <p>Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.</p>	<p><u>GRS 1-18</u></p> <p>Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee within 1 year after separation or transfer.</p> <p>Destroy when 6 months old.</p>
16	<p><u>Health Unit Records (P.A.).</u></p> <p>Individual Health Case File - 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</p>	<p>Cut off file at time of separation. Transfer folders to local FRC in one-cubic</p>

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	including x-rays, records of exposure to radioactive substances, toxic chemicals, and to various occupational hazards of the atomic energy program. Also, includes pre-employment physical examinations and disability retirement and fitness for duty examinations.	foot increments. Destroy 75 years after cut off. <u>N1-434-89-1</u>
1	<u>Health Unit Control Files (P.A.).</u>  Logs of dispensary registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.  a. If information is summarized on statistical reports.  b. If information is not summarized.	<u>GRS 1-20</u>  Destroy 3 months after last entry.  Destroy 2 years after last entry.
18	<u>Statistical Summaries.</u>  Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting period.	Destroy 2 years after date of summary or report.
19	<u>Employee Performance File System Records (P.A.).</u>  a. Documents of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.  Performance records superseded through administrative, judicial, or quasi-judicial procedure.	Destroy no later than 5 years after date of issue.  Destroy when superseded. <u>GRS 1-23a(2)</u>
20	<u>Equal Employment Opportunity Records</u>  a. Official Discrimination Complaint Case Files.  Originating Contractor file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. EEO Cases resolved with the contractor, or by a U.S. Court.	<u>GRS 1-25</u>  Destroy 4 years after resolution of case.

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- b. Copies of Complaint Case Files  
Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.  
Destroy 1 year after resolution of case.
- c. Background Files.  
Background records not filed in the Official Discrimination Complaint Case Files.  
Destroy 2 years after final resolution of case.
- d. Compliance Records.  
(1) Compliance Review Files:  
Review background documents and correspondence relating to contract employment practices.  
Destroy when 7 years old.  
(2) EEO Compliance Reports.  
Destroy when 3 years old.
- e. Employee Housing Requests.  
Forms requesting Contractor assistance in housing matter such as rental or purchase.  
Destroy when 1 year old.
- f. Employment Statistics File  
Employment statistics relating to race and sex.  
Destroy when 5 years old.
- 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 Contractor EEO Committee meetings records including minutes and reports.  
Destroy when 5 years old or when superseded or obsolete, whichever is applicable.
- h. EEO Affirmative Action Plans (AAP).  
(1) Contractor copy of consolidated AAP(s).  
Destroy 5 years from date of plan.  
(2) Contractor 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) Contractor copy of annual report of Affirmative Action accomplishments.  
Destroy 5 years from date of report.

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21	<p>Personnel Counseling Records (P.A.).</p> <p>a. Counseling Files.</p> <p>Reports of interviews, analyses, and related records.</p> <p>b. Alcohol and Drug Abuse Program.</p> <p>Records created in planning, coordinating and directing an alcohol and drug abuse program.</p>	<p><u>GRS 1-26</u></p> <p>Destroy 3 years after termination of counseling.</p> <p>Destroy 3 years old.</p>
22	<p>Records of Conduct Files.</p> <p>Correspondence, memoranda, and other records relating to codes of ethics standards of conduct.</p> <p><u>Labor Management Relations Records (P.A.).</u></p> <p>a. Labor Management Relations General Case Files.</p> <p>(1) Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups:</p> <p>(1) Office negotiating agreement.</p> <p>(2) Other offices.</p> <p>b. Labor Arbitration General and Case Files.</p> <p>(1) Correspondence, forms, and background papers relating to labor arbitration cases.</p>	<p>Destroy when obsolete or superseded.</p> <p><u>GRS 1-</u></p> <p><u>GRS 1-28</u></p> <p>Destroy 5 years after expiration of agreement.</p> <p>Destroy when superseded or obsolete.</p> <p>Destroy 5 years after final resolution of case.</p>
2	<p><u>Training Records - Individual (P.A.).</u></p> <p>Contractors must maintain one master folder for each contract employee or create one master folder on transfer or separation when training activities are responsible for maintaining records. Folders are to be filed in alphabetical order by subject name (last name, name, middle initial).</p> <p>a. Contract employee individual folders which contain ONLY the following documents:</p>	<p><u>N1-434-88</u></p>



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AUTHORIZED DISPOSITION

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| (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 qualification or certification; simulator/operational evaluation records; new employees indoctrination/orientation checklists; and records of exemptions to these documents. | Cut off file at time of separation or transfer of employee. Screen out and destroy all Item a.4 records. Transfer folders with remaining documents to local FRC in 1-cubic foot increments. Destroy 4 years after cut off. |
| (2) Checklists completed for recertification, including the results of written examination given for recertification, and records of oral examination given for recertification.   | Cut off file at time of separation or transfer of employee. Screen out and destroy all Item a.4 records. Transfer folders with remaining documents to local FRC in 1-cubic foot increments. Destroy 4 years after cut off. |
| (3) Documentation of qualification for one-time-on special tests and operations.   | Cut off file at time of separation or transfer of employee. Screen out and destroy all Item a.4 records. Transfer folders with remaining documents to local FRC in 1-cubic foot increments. Destroy 4 years after cut off. |
| (4) Results of medical examinations (only pass/fail and restrictions), balance of results retained in medical file.  | Cut off file at time of separation or transfer of employee. Screen out and destroy all Item a.4 records. Transfer folders with remaining documents to local FRC in 1-cubic foot increments. Destroy 4 years after cut off. |
| b. Contract employee individual folders which contain Item 2 documents and also contain:   |  |
| (1) Attendance/completion records of training courses or sessions which include subjects dealing with hazardous materials directly applicable to the employee's job or position.   | Cut off at time of separation or transfer of employee. Screen out and destroy all Item a.4 records. Transfer folders with remaining documents to local FRC in 1-cubic foot increments. Destroy 75 years after cut off.     |
| (2) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses, and   | Destroy when 5 years old or 5 years after completion of a specific training program  |

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	<p>c. Correspondence, memoranda, reports, objectives, and other records relating to the availability of training courses and employee participation in training programs sponsored by other government agencies or nongovernment institutions.</p>	<p>Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p>
25	<p><u>Grievance, Disciplinary, and Adverse Action Files (P.A.).</u></p> <p>a. Grievance, Appeals Files (5 CFR 771).</p> <p>Records originating in the review of grievance and appeals raised by contractor 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.</p> <p>b. Adverse Action Files (5 CFR 752).</p> <p>Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. 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.</p>	<p><u>GRS 1-30</u></p> <p>Destroy 3 years after case is closed.</p> <p>Destroy 4 years after case is closed.</p>
26	<p><u>Personnel Injury Files (Worker's Compensation) (P.A.).</u></p> <p>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.</p>	<p>Retain for 3 years after case is closed. Transfer to FRC and destroy 75 years after received.</p>

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ITEM #	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
27	<p>Occupational Injuries and Illness Files. P.A.</p> <p>Reports and logs (in OSHA Forms 100, 101, 102, and 200 or equivalents) maintained as prescribed in 29 CFR and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.</p>	<p>Destroy when 5 years old. <u>GRS 1-34</u></p>
2	<p><u>Denied Health Benefits Claims (P.A.).</u></p> <p>Denial eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.</p> <p>a. Health benefits denied but appealed.</p> <p>b. Health benefits denied, appealed for reconsideration.</p> <p>(1) Appeal successful - benefits granted.</p> <p>(2) Appeal unsuccessful - benefits denied.</p>	<p><u>GRS 1-35</u></p> <p>Destroy 3 years after denial.</p> <p>Destroy within 3 years old.</p> <p>Destroy 3 years after appeal.</p>
29	<p><u>Nonoccupational Insurance Claim Statements (P.A.).</u></p> <p>Nonoccupational insurance claim statements of contractor employees for hospital, surgical, medical, major medical, and life insurance costs along with records regarding payment of claims and related correspondence.</p> <p><u>Workplace Drug Testing Program Files (P.A.).</u></p> <p>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 Contractor programs, including annual reports to Congress, as required by Public Law 100-503 (f), and statistical reports, as required by FPM Letter 792-19, 12/27/89, Section 6.</p> <p>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).</p>	<p>Destroy 3 years after claim has been paid.</p> <p><u>GRS 1-36</u></p> <p>(See Note (1))</p>

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	Contractor 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, obsolete, or no longer needed, whichever is later. (See Note (2))
	b. Employee acknowledgement 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))
	c. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Include are lists of selectees, notification letters, and testing schedules.	Destroy when 3 years old. (See Note (2))
	d. Relating to the collection and handling of specimens.	
	(1) "Permanent" Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.	Destroy 3 years after date of last entry. (See Note (2))
	(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)).
	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.	Destroy when 3 years old. (See Note (2))

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[NOTES: (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 DOE/NV, Contractor Record Schedule Item 25b, which provides for the destruction of records 4 years after the case is closed. (2) Any records covered by Items 30a-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).]