

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA use only)	
10 NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-434-98-4
1. FROM (Agency or establishment) Department of Energy Washington, DC 20585		DATE RECEIVED	3-30-98
2. MAJOR SUBDIVISION Department-wide		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Mary Ann Wallace	5. TELEPHONE 301 903 4353	DATE	ARCHIVIST OF THE UNITED STATES
		2-29-00	John W. Paul

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 37 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 3/25/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Mary Ann Wallace</i> Mary Ann Wallace	TITLE Team Leader, Records Mgt.
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Administrative Schedule / , based upon GRS / ; See Attachment.		

DEPARTMENT OF ENERGY

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INTRODUCTION

As do all Administrative Records Schedules (ADMs), ADM-1 covers records of the Department and contractors. The records include information on the American with Disabilities Act, 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 items 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. Per e-mail/John Davenport 3/2/99

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 the National Archives and Records Administration for permanent retention. See item 1.1 for contractor personnel files.

a. Transferred employees.

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

b. Separated employees.

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

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

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, resumes, proof of residence, copy of background investigation (not the Personal Security Questionnaire 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), 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 file at time of separation. Transfer folders to the local Federal records center. Destroy 75 years after cutoff.~~

2. Service Record Cards for Federal Employees. (EXCEPTION TO GRS 1, Item 2)

Service Record Card (Standard Form 7 or equivalent).

~~a. (The GRS subitem is not applicable to the Department of Energy.)~~

b. Cards 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.~~

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

~~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 or at contractor's option. 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.
Destroy when no longer needed.~~

~~b. Declined offers for Federal employment:~~

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

~~Return to OPM with reply and application.~~

~~(2) Temporary or excepted appointment.~~

~~File with application (see item 15 of this schedule).~~

~~(3) All others.~~

~~Destroy immediately.~~

~~c. All other declined offers.~~

~~Destroy when no longer needed.~~

~~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.~~

~~6. Employee Record Cards. (EXCEPTION TO GRS 1, item 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. (EXCEPTION TO GRS 1, item 7)**

a. **Position Classification Standards Files.**

- (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the Department.

Cut off when superseded or determined obsolete. Destroy 75 years after cutoff.

- (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 cutoff.

- ~~(b) Review File.~~

~~Destroy when 2 years old.~~

- b. **Position Descriptions.** 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 superseded.

~~c. **Survey Files.**~~

- ~~(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.~~

- ~~(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.

d. **Appeals Files.**

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

Destroy 3 years after case is closed.

- (2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

7.1. **Contractor Job Classification Manuals. (NI-434-89-1)**

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

Destroy 75 years after date of issuance.

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.

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

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

Destroy 1 year after case is closed.

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

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 performance-related records.

Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. See item 23 of this schedule for disposition of temporary performance-related records.

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. However, the disposition applies to the information regardless of form.]

12. Employee Awards Files. (GRS 1, item 12)

- a. General awards records, EXCLUDING those relating to departmental and corporate level awards. See NOTE, below, for these records.

- (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to Departmental and corporate 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. 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 Departmental level (examples: 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 an Incentive Awards Program.

Destroy when 3 years old.

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

Federal (Standard Form 50) and corporate notification of all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy maintained 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. Employment Applications. (GRS 1, item 15)

Applications (including OF 612 for Federal employment), resumes, and any other applications for unique jobs with specialized requirements, and related records, EXCLUDING, applications resulting in appointment which are filed in the formal personnel file; and, for Federal service, records relating to appointments requiring Senatorial confirmation.

Destroy when 2 years old, or for Federal service, upon receipt of OPM inspection report or when 2 years old whichever is earlier.

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.

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

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

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

Destroy when action is completed.

- b. Retention registers and related records.

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

Destroy when 2 years old.

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

Destroy when superseded or obsolete.

- c. All other correspondence and forms.

Destroy when 6 months old.

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

- 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 the formal personnel file not provided for elsewhere in this schedule.

Destroy when 6 months old.

19. Individual Non-Occupational Health Record Files. (EXCEPTION TO GRS 1, item 19)

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Federal or corporate 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. (EXCEPTION TO GRS 1, item 20)

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.~~

b. If information is not summarized.

Destroy 75 years after last entry.

20.1 Contractor Health Unit Control Files. (NI-434-89-1[4c])

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.~~

b. If information is not summarized.

Destroy 75 years after last entry.

21. Federal Employee Medical Folder (EMF). (EXCEPTION TO GRS 1, item 21)

~~a. Long-term medical records as defined in 5 CFR part 293, subpart E.~~

~~(1) Transferred employees.~~

~~See 5 CFR part 293, subpart E for instructions.~~

~~(2) Separated employees.~~

~~Transfer to National Personnel Records Center (NPRC) (Federal employees only), 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.~~

- 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.

- ~~c. Individual Employee Health Case Files created prior to the establishment of the EMF system that have been retired to a FRC.~~

~~Destroy 60 years after retirement to FRC.~~

21.1 Contractor Employee Medical Folder (EMF). (N1-434-89-1[4a,b])

- ~~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.~~

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

- 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.

21.2 Records Concerning Personnel Exposure to Hazardous Concentrations of Toxic Chemicals and Other Materials. (N1-430-76-9[5])

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 which establish or relate to establishing operating practices.~~

~~Permanent. Cut off at the close of the fiscal year. Transfer to the National Archives and Records Administration 25 years after cutoff.~~

- ~~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.~~

- ~~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.~~

- ~~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.~~

- ~~(2) Surveys indicating a potential industrial hazard.~~

~~Cut off when the facility is dismantled. Destroy 75 years after cutoff.
(ADDITION to NC1-430-76-9[5])~~

~~21.3 Radiation Contamination Control Program Records. (NC1-430-76-9[4])~~

~~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 other 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.

- (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.

- (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), 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.

- 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 of 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 the National Archives and Records Administration in five year blocks 25 years after cutoff.

- (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.

- 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.

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

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.

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

- (1) Records directly relating to the work place.

Cut off at the close of the fiscal year. Destroy 75 years after cutoff.

- (2) All other records.

Destroy when purpose is served or when 3 months old, whichever is earlier.

- 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.

21.4 Individual Employee Health Hazard Case Files. (NC1-430-76-9[4])

Individual employee radiation exposure history files (both internal and external exposure). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and includes: records of skin and nasal contamination incidents, including decontamination details; incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used; results of direct measurement of radiation from the chest, specific organs, or whole body; investigations of assimilation of radioactive materials in excess of standards and control guides, missing or unusual data concerning exposure of personnel to radiation, and radiation exposures exceeding quarterly to yearly exposure guides and standards; and records of bioassay data, including positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation by an individual or a radionuclide, and laboratory results indicating no assimilation of radioactive materials.

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

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

Records document the periodic radiation doses measured on employees, visitors, and guests. Each employee or guest working in areas with ionizing radiation wear 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, St. Louis, Missouri. Destroy when 75 years old.

22. Statistical Summaries. (EXCEPTION TO GRS 1, item 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. (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.

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

Destroy when superseded.

- (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 Official Personnel File 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.

- (b) All other performance plans and ratings.

Destroy when 4 years old or when no longer needed, whichever is sooner.

- (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.

- (5) Supporting documents.

Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner.

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.

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

- (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, or when no longer needed, whichever is sooner.

- (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 (5 CFR 214).

Destroy 5 years after date of appraisal.

- (4) Supporting documents.

Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.

24. Financial Disclosure Reports. (GRS 1, item 24)

- a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).

- (1) Records, including SF 278, for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- (2) All other records, including SF 278.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

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

- 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 as described in 29 CFR 1613.222. Cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.

Destroy 4 years after resolution of case.

- 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. 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.

d. Compliance Records.

- (1) Compliance Review Files.

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

Destroy when 7 years old.

- (2) Equal employment opportunity Compliance Reports.

Destroy when 3 years old.

e. Employee Housing Requests.

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

Destroy when 1 year old.

f. Employment Statistics Files.

Employment statistics relating to race and sex.

Destroy when 5 years old.

[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this subitem are not authorized for disposal. Such files must be scheduled on an SF 115.]

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.

h. EEO Affirmative Action Plans (AAP).

(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 onsite 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)

a. Counseling Files. Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling.

b. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old.

27. Standards of Conduct Files. (GRS 1, item 27)

Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

28. Federal 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.

(2) Other offices.

Destroy when superseded or obsolete.

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.

28.1 Contractor Labor Management Relations Records.

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. (EXCEPTION TO GRS 1, item 29)

~~a. General file of Departmentally-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the Department~~

(see item 29.2 below).

- (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.

- (2) Background and working files.

Destroy when 3 years old.

b. Employee training.

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 when 75 years after superseded or obsolete.

29.1 Contractor Employee Individual Training Folders. (NI-434-88-1)

a. Contractor employee individual folders which 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 qualification or certification; simulator/operational evaluation records; new employee indoctrination/orientation checklists; and reports of exemptions to these documents;
- (2) Checklists completed for recertification, including the results of written examinations given for recertification; and records of oral examinations given for recertification;
- (3) Documentation of qualification for one-time-only special tests and operations; and
- (4) Results of medical examinations (only pass/fail and restrictions); NOTE: any other types of results are to be retained in the medical file.

Cut off file at time of separation or transfer of 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.

- b. ~~Contractor employee individual folders which contain item 29.1a(4) records AND also contain: 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 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.~~

29.2. Administrative Training Records. (NI-434-88-1)

- a. Records include manuals, syllabuses, textbooks, and other training aids developed by the Department, 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 training provided to prepare employees regarding actions appropriate for avoiding, preventing, and minimizing any type of injury which could result from exposure to harmful substances.

Transfer to a Federal records center after last session. Destroy 75 years after transfer.

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

Transfer to a Federal records center after last session. Destroy 75 years after transfer.

- (3) For all other courses.

Transfer to a Federal records center after last session. Destroy 2 years after transfer.

- b. Drill guides/scenarios.

Destroy when superseded or obsolete. Do not transfer to a Federal records center.

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.

d. Course training aids.

Destroy when superseded or obsolete. Do not transfer to a Federal records center.

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

a. Administrative Grievance Files (5 CFR 771). 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.

b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). 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.

31. Personal Injury Files. (EXCEPTION TO GRS 1, item 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.

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 Office of Personnel Management and agencies, allowing for the examination and certification of applicants for employment.

- a. Delegated agreements.

Destroy 3 years after termination of agreement.

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

Cut off annually. Destroy 1 year after cutoff.

- c. 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.

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

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

- e. Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their development.

Destroy 5 years after termination of related register.

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

Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff. When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM service)

center or 90 days after final action is taken on the certificate, whichever is sooner.)

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

Cut off annually. Destroy 1 year after cutoff.

- h. Canceled and ineligible applications, supplemental forms, and attachments.

Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.

- I. Test answer sheets. Written test answer sheets for both eligibles and ineligibles. File by date of processing.

Destroy when 6 months old.

- 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.

- k. Eligible applications.

- (1) On active register.

Destroy upon termination of the register (except applications that may be brought forward to new register, if any).

- (2) On inactive register.

Destroy 1 to 12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.

- l. 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.

m. **Certificate Files.**

SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.

Cut off annually. Destroy 5 years after cutoff.

n. **Certification request control index.**

Cut off annually. Destroy 1 year after cutoff.

o. **Interagency Placement Program (IPP) application and registration sheet.**

Destroy upon expiration of employee's DEP eligibility.

p. **DEP control cards, if maintained.**

Cut off annually. Destroy 2 years after cutoff.

q. **Reports of audits of delegated examining operations.**

Destroy 3 years after date of the report.

34. **Occupational Injury and Illness Files. (EXCEPTION TO GRS 1, item 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. (EXCEPTION TO GRS 1, item 35)**

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.

- b. Health benefits denied, appealed to OPM for reconsideration.

- ~~(1) Appeal successful - benefits granted.~~

~~Create enrollment file in accordance with Subchapter S17 of the Federal Employee Health Benefits (FEHB) Handbook.~~

- (2) Appeal unsuccessful - benefits denied.

Destroy 75 years after denial.

[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.** (GRS 1, item 36)

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 Departmental programs, including annual reports to Congress, as required by Public Law 100-71, § 503(f).

- ~~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, obsolete, or no longer needed, whichever is later. [See note (2).]~~

- 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).]

- 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).]

- d. Records 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 followup testing.

- (1) Positive results. (Exception to GRS1, item 36e)

Cut off when the individual leaves employment. Destroy 5 years after cutoff.

- (2) Negative results.

Destroy when 3 years old

[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 item 30b, which authorizes destruction of records between 4 years 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.

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.

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.

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 Federal Personnel Manual, chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case.

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

Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.

~~Destroy after 3 subsequent reports have been filed.~~

42. Americans with Disabilities Act.

Files which describe and document work environment issues related to employees with disabilities.

- a. Routine files containing employee requests for reasonable accommodations, including related working files, reports, exhibits and correctives actions, in accordance with the Americans with Disabilities Act.

Cut off at case closure. Destroy 3 years after cutoff.

- ~~b. Originating agency's 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., in accordance with the Americans with Disabilities Act.~~

~~Cut off at case closure. Destroy 4 years after cutoff. (GRS 1, 25.a)~~

43. Employee Concerns Program.

Employee Concerns Program Case Files, which 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; security 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.

- (2) All other concerns

Cut off at the close of the fiscal year in which the case was closed. Destroy 4 years after cutoff.

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

(1) Security-related concerns.

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

(2) All other concerns.

Cut off at end of 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 end of fiscal year. Destroy 25 years after cutoff.

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

Cut off at end of fiscal year. Destroy 6 years after cutoff or project completion.

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.

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

45. Apprenticeship Program Files.

Apprentice 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.

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.

Cut off at termination. Destroy 10 years after cutoff.

46. Tuition Reimbursement Records.

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 end of fiscal year. Destroy 6 years and 3 months after cutoff.

47. Vacancy Announcements (as created and maintained in personnel offices).

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 end of fiscal year. Destroy 1 year after cutoff.

48. Recruitment Packages.

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

Cut off at end of 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 two years after date of test. JB 2/24
Transfer to the Official Personnel File after date of hire. *JD 9/2/99*

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

Destroy 2 years after date of test.

- c. Unsuccessful prehire applicant test.

Destroy 1 year after date of test.

50. Individual Development Plans.

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

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

51. Classification Appraisals (Pay).

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 end of 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.

Destroy 10 years after expiration of related labor agreement.

- b. Other offices.

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

53. **Certification/Decertification Files.**

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.**

Records documenting all aspects of the unemployment process from notification of termination and administrative review, to any dispute hearings 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. JBE Per 2/16/00
~~If filed separately, cut off at termination and maintain for 3 years. Then link file to its related official personnel file and for Federal employees follow the disposition in item 1, and for contractor employees. follow the disposition in item 1.1.~~

55. **Directories/Phone Listing.**

Record set of personnel listings 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.

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

Destroy hardcopy when 75 years old.

c. All others.

Destroy when superseded.

56. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

If DOE agrees to this, an e-mail reply to that effect will suffice for our purposes. If you have any questions, you can call me at (301)713-7110x251.
Sue