

PERSONNEL

This category covers all phases of personnel administration, including position classification and standards; recruitment, appointment, placement, and separation of employee; employee-management relations and necessary personnel services; evaluation, promotion, and incentive programs; and conditions of employment.

IMPORTANT: Many items in this chapter are covered by dispositions found in GRS 1, Personnel Records; GRS 2, Pay and Pay Systems; and GRS 25, Ethics. Dispositions for records covered by the GRS's are legally mandatory.

EXCEPT: A. Training and orientation of employees. See TRAINING.

B. Employee travel. See TRAVEL.

C. EEO. See EQUAL EMPLOYMENT OPPORTUNITY.

DISPOSAL AUTHORITY NCI-310-77-2

*** Retention Period ***

PER PERSONNEL

All phases of personnel administration too broad in scope to file in secondaries below.

(item 281a)

Originating office:

Destroy when 3 years old.

(item 281b)

All other offices:

Destroy when 2 years old.

PER OFFICIAL NAME FILES

Official personnel files maintained by the official Agency personnel division, in accordance with the Code of Federal Regulations (CFR).

(item 282a)

Originating office:

See GRS 1, Items 1a and 1b for disposition guidance.

(item 282b)

All other offices:

N/A

*** Retention Period ***

PER UNOFFICIAL NAME FILES

NOTE: This applies only to those offices authorized by Agency directive to maintain an unofficial name case file.

For material relating to an individual employee, use an Unofficial Name Case File authorized by Agency regulation. File all material relating to an individual employee here, NOT in subject files listed below.

(item 283a)

Originating office:

Forward to official Agency personnel division for purging and disposal after transfer or separation of employee. If transfer is within the Division or Program, screen the folder and transfer it to the appropriate office.

(item 283b)

All other offices:

N/A

PER Service Record, SF-7 or Equivalent

Maintain only by offices as authorized by Agency policy. Service Record Card (SF-7).

a. Cards for employees separated or transferred on or before December 31, 1947.

(item 3043a)

Personnel Division:

Transfer to National Personnel Records Center, St. Louis, MO. Destroy 60 years after earliest personnel action. +[(Disp. Auth. GRS 1-2-a)]+

*** Retention Period ***

PER Service Record, SF-7 or Equivalent *(continued)*

b. Cards for employees separated or transferred on or after January 1, 1948.

NOTE: Effective December 31, 1994, the SF-7 card became obsolete.

(item 3043b)

Personnel Division:

Destroy 3 years after separated or transfer of employee. +[(**Disp. Auth. GRS 1-2-b**)]+

(item 3043c)

All other offices:

Destroy on separation or transfer of employee. +[(**Disp. Auth. GRS 1-6**)]+

PER 1 POLICY

Policy and guidelines covering all subjects included under this primary subject. If needed, subdivide by type or subject of policy. Excludes published instructions or procedures, which are filed in binders according to established Agency custom.

(item 287a)

Originating office:

Retire to FRC when 10 years old. Destroy when 20 years old.

(item 287b)

All other offices:

Destroy when superseded or obsolete.

*** Retention Period ***

PER 2 REPORTS AND STATISTICS

Reports covering all subjects included under this primary subject. Includes annual report to Congress. Case file by type of report as necessary.

EXCEPT: T&A reports. See PER 8.

EXCEPT: Final project reports which should be filed under PER 6 PROJECTS or Agency program reports which should be filed with specific program reports.

a. Record copy of substantive reports, such as annual summaries and comprehensive nonrecurring reports. Case file special or one-time reports as needed.

b. Agency copy of above reports.

c. All other reports including computer generated reports, received from the National Finance Center (NFC) either in hard-copy printouts or on microfilm.

File all reports here covering subjects included under this primary subject. As volume requirees, prepare separate folders by name or type of report. Use also for personnel biographies when filed as a group.

(item 288a)

Originating office:

Retire to FRC when 10 years old. Destroy when 20 years old.

(item 288b)

All other offices:

Destroy when no longer needed for reference but no longer than 3 years.

(item 289a)

Originating office:

Destroy when superseded or obsolete.

(item 289b)

All other offices:

Destroy when superseded or obsolete.

(item 290a)

Originating office:

Destroy when 2 years old.

(item 290b)

All other offices:

Destroy when 2 years old.

*** Retention Period ***

PER 2-1 Activity Reports

Summaries relating to work activity involved with PER.

[NOTE: See GRS 1, Item 16 for Personnel Operations Statistical Reports.]

(item 3044a)

Originating office:

Destroy when 2 years old.
+[(**Disp. Auth. GRS-23-1**)]+

(item 3044b)

All other offices:

Destroy when 2 years old.
+[(**Disp. Auth. GRS-23-1**)]+

PER 3 COMMITTEES, MEETINGS

Committees and meetings relating to administrative activities and functions not having long term significance. Subdivide committees and meetings, if necessary, and show name and date span on folder.

(item 292a)

Originating office:

Destroy when 2 years old.
+[(**Disp. Auth. GRS-16-8-a**)]+

(item 292b)

All other offices:

Destroy when 2 years old.
+[(**Disp. Auth. GRS-16-8-a**)]+

Case file record copy of minutes and related material, including agendas, of substantive or significant committees or meetings concerned with broad aspects of the Agency, such as advisory organizations and interagency committees. Includes committees chaired by representatives or records maintained by personnel representatives on committees to carry out responsibility of assignments.

(item 293a)

Originating office:

Retire to FRC when 10 years old. Destroy when 20 years old.

(item 293b)

All other offices:

Destroy when 2 years old.

EXCEPT: Program committees or meetings which should be filed under the specific program category.

*** Retention Period ***

PER 3-1 Arrangements

Includes such material as meeting arrangements, invitations, extra copies of agendas, accommodations, authority to attend, work papers, acceptances, and regrets.

(item 294a)
Originating office:
Destroy when 1 year old.

(item 294b)
All other offices:
Destroy when 1 year old.

PER 3-2 Labor Management Relations Meetings

Labor Management Relations General and Case Files. Correspondence, memorandums, reports, and other records relating to the relationship between management and employee unions or other groups.

(item 2009a)
Office Negotiating Agreement:
Destroy 5 years after expiration of agreement.
+[(Disp. Auth. GRS 1-28-a-1)]+

(item 2009b)
All other offices:
Destroy when superseded or obsolete. **+[(Disp. Auth. GRS 1-28-a-2)]+**

PER 4 CLASSIFICATION

Standards and guidelines issued or reviewed by Office of Personnel Management (OPM) and used to classify and evaluate positions within the Agency.

(item 2010a)
Originating office:
Destroy when superseded or obsolete. **+[(Disp. Auth. GRS 1-7-a-1)]+**

(item 2010b)
All other offices:
Destroy when superseded or obsolete. **+[(Disp. Auth. GRS 1-7-a-1)]+**

*** Retention Period ***

PER 4 - (continued)

Case file. Correspondence and other records relating to the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval.

(item 2011a)
Originating office:
Destroy 5 years after position is abolished or description is superseded. **+[(Disp. Auth. GRS 1-7-a-2-a)]+**

(item 2011b)
All other offices:
Destroy 5 years after position is abolished or description is superseded. **+[(Disp. Auth. GRS 1-7-a-2-a)]+**

PER 4-1 Position Descriptions

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

(item 2012a)
Originating office:
Destroy 2 years after position is abolished or description is superseded. **+[(Disp. Auth. GRS 1-7-b)]+**

(item 2012b)
All other offices:
Destroy 2 years after position is abolished or description is superseded. **+[(Disp. Auth. GRS 1-7-b)]+**

Copies of Customer Service Center job series and standards.

(item 298a)
Originating office:
Destroy when superseded or obsolete.

(item 298b)
All other offices:
Destroy when 2 years old.

*** Retention Period ***

PER 5 STAFFING

Records on staffing requirements based on authorized ceilings. Includes staffing patterns.

[NOTE: Also see GRS 23, Item 1]

EXCEPT: Requests for and approvals/disapproval's for personnel ceilings. See BUD 9-4.

(item 300a)

Originating office:

Destroy when 3 years old.

(item 300b)

All other offices:

Destroy when 2 years old.

PER 6 PROJECTS

General material on projects.

(item 302a)

Originating office:

Destroy when 3 years old.

(item 302b)

All other offices:

Destroy when 2 years old.

Reference material.

(item 303a)

Originating office:

Destroy when superseded or obsolete.

(item 303b)

All other offices:

Destroy when superseded or obsolete.

*** Retention Period ***

PER 6 (continued)

Case file records and related correspondence on approved projects or task forces. Includes basic documentation and final report or other substantive material. Show title and date span of project, as: PER 6 PROJECT NO. 00 SAFETY and HEALTH - FY 76.

(item 304a)
Originating office:
Destroy 5 years after completion of project.

(item 304b)
All other offices:
Destroy when 2 years old.

Proposed projects.

(item 306a)
Originating office:
Destroy when 5 years old, if no further action is taken.

(item 306b)
All other offices:
Destroy when 2 years old.

Work papers and draft report of project.

(item 307a)
Originating office:
Destroy 3 years after completion of project and final report.

(item 307b)
All other offices:
Destroy when 2 years old.

PER 7 EMPLOYMENT

Includes such material as records pertaining to examinations, recruitment, transfers into Agency, registers, lists of eligibles, and employment authorizations. See PER 8-4 for details within Department or Agency.

(item 308a)
Originating office:
See GRS 1, Items 33a - 33t for detailed guidance.

(item 308b)
All other offices:
See GRS 1, Items 33a - 33t for detailed guidance.

*** Retention Period ***

PER 7-1 Applications

Applications, including Optional Form (OF) 612, resumes, and any other application that the Agency developed for unique jobs with specialized requirements, and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel File (OPF).

(item 2013a)

Originating office:

Cutoff annually. Destroy 2 years after cutoff. [GRS 1, Item 33n]

(item 2013b)

All other offices:

Cutoff annually. Destroy 2 years after cutoff. [GRS 1, Item 33n]

PER 7-2 Recruitment

Correspondence and related material offering appointments to potential employees.

a. Accepted offers.

(item 3045a)

Originating office:

Destroy when appointment is effective. +[(**Disp. Auth. GRS 1-4-a**)]+

b. Declined offers:

(item 3045b)

Originating office:

1. When name is received from certificate of eligibles. Return to OPM with reply and application.

Return to OPM with reply and application. [GRS 1, Item 4b(1)]

2. Temporary or excepted appointment. File with application.

File with application (see item 15 of this schedule). [GRS 1, Item 4b(2)]

3. All others. Destroy immediately.

Destroy immediately. [GRS 1, Item 4b(3)]

PER 7-3 Action Requests

Requests for Personnel Actions, SF-52's, and related documents.

(item 312a)

Originating office:

Destroy when 2 years old.

+[(Disp. Auth. GRS 1-14 - a)]+

(item 312b)

All other offices:

Destroy when 2 years old.

+[(Disp. Auth. GRS 1-14 - a)]+

PER 7-4 Appointments

Material pertaining to all types of appointments, authorities, extensions, and appointments to excepted positions.

a. Accepted offers.

(item 3045a)

Originating office:

Destroy when appointment is effective.

+[(Disp. Auth. GRS 1-4-a)]+

b. Declined offers:

1. When name is received from certificate of eligibles. Return to OPM with reply and application.

(item 3045b)

Originating office:

Return to OPM with reply and application. [GRS 1, Item 4b(1)]

2. Temporary or excepted appointment. File with application.

File with application (see item 15 of this schedule). [GRS 1, Item 4b(2)]

3. All others. Destroy immediately.

Destroy immediately. [GRS 1, Item 4b(3)]

PER 8 TIME AND ATTENDANCE

Material on attendance and leave administration, not included in the “MODE Procedures T&A Report Handbook.” Excludes material on individual employees. See Below.

(item 314a)

Originating office:

Destroy when superseded or obsolete.

(item 314b)

All other offices:

Destroy when superseded or obsolete.

(item 2077a)

T&A Contact Point:

Destroy after GAO audit or when 6 years old, whichever is sooner. +[(**Disp. Auth. GRS 2-7**)]+

Case file, in separate folders, individual Time and Attendance reports, by name of employee. Add Social Security Number when two or more employees have the same name. Include separated employees.

NOTE: If transfer is within the Agency, screen folder and submit to new duty station.

(item 2077b)

All other offices:

Destroy 6 months after the end of the pay period. +[(**Disp. Auth. GRS 2-7**)]+

PER 8-1 Transmittals

Completed transmittal forms for T&A's.

(item 317a)

T&A Contact Point:

Destroy after 6 pay periods.

(item 317b)

All other offices:

N/A

PER 8-2 Leave

General material related to absence and leave, including annual, sick, military, and court leave and leave without pay.

(item 318a)

Originating office:

Destroy when 3 years old.

(item 318b)

All other offices:

Destroy when 2 years old.

*** Retention Period ***

PER 8-3 Tours of Duty

Material relating to the establishment of tours and hours of duty, including working hours which vary from standard tours of duty.

(item 319a)

Originating office:

Destroy when 3 years old.

(item 319b)

All other offices:

N/A

PER 8-4 Assignments

Includes such material as assignment lists and duty rosters and details with in the Department or Agency. Subdivide by type or record, if necessary.

(item 320a)

Originating office:

Destroy obsolete material when 3 years old.

(item 320b)

All other offices:

Destroy when 2 years old.

PER 9 AWARDS AND INCENTIVES

Government incentive and suggestion awards program. Procedures on programs. Includes Length of Service, Fleming, and other awards.

(item 2015a)

Originating office:

See GRS 1, Items 12a - 12d.

(item 2015b)

All other offices:

See GRS 1, Items 12a - 12d.

PER 9-1 Special Achievements

Material on awards for superior job performance. Incorporates former Incentive Awards Program. Establish case files as needed.

(item 3220a)

Originating office:

Destroy when 3 years old.
[GRS 1, Item 13]

(item 322b)

All other offices:

Destroy when 3 years old.
[GRS 1, Item 13]

*** Retention Period ***

PER 9-2 Employee Suggestions

Includes related and supporting papers, and divisional comments on suggestions submitted for review.

If needed, establish case files by employee name or suggestion number.

(item 2016a)

Originating office:

Destroy 2 years after approval or disapproval.

+[(Disp. Auth. GRS 1-12-a-1)]+

(item 2016b)

All other offices:

Destroy 2 years after approval or disapproval.

+[(Disp. Auth. GRS 1-12-a-1)]+

PER 10 CONDUCT AND DISCIPLINE

General material on the conduct of employees. Includes outside employment, political activities, social and/or fraternal organizations, investigations, conflict of interest, letters of warning, reprimands, and other disciplinary actions.

(item 323-1a)

Originating office:

See GRS 25 for disposition guidance.

a. Administrative Grievance, Disciplinary, and Adverse Action Case file. Records relating to grievances raised by Agency employees, except EEO complaints. 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.

(item 3047a)

Personnel Division:

See GRS 1, Items 26, 27, and 30

*** Retention Period ***

PER 10 *(continued)*

b. Adverse Action and Performance-Based Actions. Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes 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.

(item 3048a)
Personnel Division:
See GRS 1, Items 23a - 23b.

Conflict of Interest case files.

(item 327a)
Originating office:
Destroy when 6 years old.
[GRS 25, Item 4]

PER 11 COMPENSATION

Material pertaining to premium pay, salary rates for shortage category positions, regular pay, unemployment compensation, salary checks, wage board rates, pay plans, within-grade salary increases, bonds, and other deductions.

(item 328a)
Originating office:
Destroy when 3 years old.

(item 328b)
All other offices:
Destroy when 2 years old.

[NOTE: Also see GRS 2, Pay and Payrolling Records.]

PER 11-1 Allowances

Material pertaining to employee allowances and expenses. Includes such expenses as cost of living and uniform allowances.

(item 329a)
Originating office:
Destroy when 3 years old.

(item 329b)
All other offices:
Destroy when 2 years old.

PER 12 MERIT PROMOTION

General material relating to Agency Merit Promotion Program. Includes promotions, promotion plans, demotions, performance evaluation, career enhancement, and the like.

*** Retention Period ***

(item 3049a)

Originating office:

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

+[(Disp. Auth. GRS 1-32)]+

(item 3049b)

All other offices:

Destroy when 2 years old.

+[(Disp. Auth. GRS 1-32)]+

Individual merit promotion case files.

(item 2017a)

Originating office:

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

+[(Disp. Auth. GRS 1-32)]+

(item 2017b)

All other offices:

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

+[(Disp. Auth. GRS 1-32)]+

*** Retention Period ***

PER 12 *(continued)*

Vacancy Announcement.

(item 2018a)

Recordkeeping Copies:

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off. [GRS 1, Item 33f]

PER 13 EMPLOYEE-MANAGEMENT RELATIONS

Material pertaining to relations between employees or employee groups and management.

[NOTE: See GRS 1, Item 28 for labor relations (negotiated agreements).]

(item 332a)

Originating office:

Destroy when 3 years old.

(item 332b)

All other offices:

Destroy when 2 years old.

PER 13-1 Employee Services

Employee social, recreational, welfare activities, and employee organizations. Includes Credit Unions, fund raising campaigns, bond drives, etc.

(item 334a)

Originating office:

Destroy when 3 years old.

(item 334b)

All other offices:

Destroy when 2 years old.

*** Retention Period ***

PER 14 LABOR-MANAGEMENT RELATIONS

General material relating to Labor Management Relations which does not relate to specific cases listed below.

NOTE: All grievances relating to Labor-Management Relations are to be filed in PER-15 GRIEVANCES.

Material on an individual labor organization should be case filed by the title of specific labor organization; if volume warrants, should consist of the principal folders below:

EXAMPLE: PER-14 (AFGE-EXCLUSIVE RECOGNITION) FY 76

PER 14-1 (XXX-Exclusive Recognition) FY __

Documentation relating to the authorization given to the labor organization permitting it to become the exclusive representative for all employees of the unit.

PER 14-2 (XXX-Membership) FY __

Documentation of elections, resignations of officials, membership rosters, transfers of memberships, counseling of representatives, and similar matters.

NOTE: Unless volume warrants this folder, combine this material with the material in PER-14 EXCLUSIVE RECOGNITION folder above.

(item 335a)

Originating office:

Destroy 5 years after expiration of agreement. [GRS 1, Item 28a(1)]

(item 335b)

All other offices:

Destroy when 2 years old.

(item 336a)

Originating office:

Destroy 5 years after expiration of agreement. [GRS 1, Item 28a(1)]

(item 336b)

All other offices:

Destroy when superseded or obsolete.

(item 337a)

Originating office:

Destroy when superseded or obsolete.

(item 337b)

All other offices:

Destroy when superseded or obsolete.

*** Retention Period ***

PER 14-3 (XXX-Agreements) FY __

Negotiated agreements between APHIS and labor organizations. Included are negotiations leading to agreements, collective bargaining, and evaluation of the agreements. Case file by specific type such as:

1. Basic Agreement.
2. Regional Agreement.
3. Area Agreement.
4. Circuit Agreement.
5. Port Agreement.
6. Local Agreement.

(item 338a)

Originating office:

Destroy 5 years after expiration of agreement. [GRS 1, Item 28a(1)]

(item 338b)

All other offices:

Destroy when superseded or obsolete. [GRS 1, Item 28a(2)]

PER 14-4 (XXX-Miscellaneous Provisions) FY __

Material related to various personnel activities covered in a negotiation agreement such as: Dues Withholding, Use of Official Time, Assignments, Leave Policies, Clarification Standards, etc.

(item 339a)

Originating office:

Destroy 5 years after expiration of agreement. [GRS 1, Item 28a(1)]

(item 339b)

All other offices:

Destroy when superseded or obsolete. [GRS 1, Item 28a(2)]

*** Retention Period ***

PER 14-5 (XXX-Unfair Labor Practices) FY __

Material relating to Unfair Labor Practices. Complaints initiated by an employee, a labor organization, or APHIS, under the complaint procedure in accordance with Executive Order 11491. These complaints may involve alleged discriminations with regard to race, creed, sex, age, national origin, or unfair treatment relating to procedures and practices under rules of the labor organization or APHIS management and unfair process in disciplinary proceedings. Case file by name of complaint, if needed. Show beginning and closing date of case on folder label.

NOTE: Do not file grievances here. For information concerning grievances, see PER-15 GRIEVANCES.

(item 340a)

Originating office:

Destroy 5 years after final resolution of case. [GRS 1, Item 28b]

(item 340b)

All other offices:

Destroy 5 years after final resolution of case. [GRS 1, Item 28b]

PER 16 HEALTH AND SAFETY

Material on health and safety programs such as health benefits, medical facilities, and the like.

[NOTE: Also see GRS 1, Items 19 - 20.]

(item 344a)

Originating office:

Destroy when 3 years old.

(item 344b)

All other offices:

Destroy when 2 years old.

PER 16-1 Accidents (Personal Injury files)

Case file records on individual accidents by employee's name. If a Government-owned vehicle was involved, cross-reference to PRP 13.

[NOTE: Also see GRS 1, Item 34, Occupational Injury and Illness files.]

(item 345a)

Originating office:

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. [GRS 1, Item 31]

*** Retention Period ***

PER 17 SEPARATION

Records on resignation, retirement, transfers to other agencies, reduction-in-force, etc. Subdivide by type of separation, if needed. File material on individual in employee's name file.

(item 346a)

Originating office:

Destroy when 3 years old.

(item 346b)

All other offices:

Destroy when 2 years old.

PER 18 CLIENT FILES

Agreements with clients, evaluations, interview data, working material, and notes.

(item 2078a)

Originating office:

Destroy 4 years after completed. +[(**Disp. Auth. N1-463-94-1**)]+

(item 2078b)

All other offices:

N/A +[(**Disp. Auth. N1-463-94-1**)]+

PER 19 MEDICAL MONITORING RECORDS

General correspondence and material relating to medical monitoring records maintained on employees exposed to toxic substances or harmful physical agents. Records include the following forms:

APHIS Form 29 - Request for Monitoring.

APHIS Form 88 - Report of Physical.

ARC Form 182c (8/82) Medical History.

Case file by name of employee.

(item 3006a)

Originating office:

Forward to official Agency personnel division. Retire to FRC when employee separates from service. Destroy 75 years after separation of employment.

(item 3006b)

All other offices:

Destroy 5 years after employee separates from the Agency.