

## Section 10: Personnel Records

	A	B	C	D	E	F
1	<b>BNL Site-Specific Records Retention Schedule</b> <b>Section 10: Personnel Records</b> <b>Note: Records Marked With 'EPI' Are Under A Moratorium. Do Not Destroy These Records.</b>					
2	<b>Series title</b>	<b>Description</b>	<b>10</b>	<b>Schedule</b>	<b>Cutoff</b>	<b>Retention</b>
3	Alcohol and Substance Abuse Policy	This series contains correspondence and background information relating to the establishment and implementation of the Brookhaven National Laboratory's (BNL) alcohol and substance abuse policy. Included are copies of drug testing procedures at other companies used for comparison; copies of draft orders relating to drug-free workplace program, and drug testing program for federal employees.	10	ADM-1.26.B	Calendar	Destroy when 3 years old.
4	Collaborations	This series includes department/division guest files, consultant files, and collaborator appointment files. These records include Personnel Information Forms (PIFs), collaborator allowance forms, and appointment memos.	10	ADM-1.18.A	Calendar	Review annually and destroy when superseded or obsolete, or destroy file relating to an employee within 1 year after separation or transfer.
5	Committee - Affirmative Action	This series consists of Affirmative Action Advisory Committee minutes of meetings, intra-laboratory correspondence, annual reports, membership roster, and charter.	10	ADM-1.25.G	Calendar	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
6	Employee Awards	This series documents the implementation of four awards: the Research and Development (R&D) award, the Brookhaven award, the Spotlight Award, and Perfect Attendance Award.	10	ADM-1.13	Calendar	Destroy when 3 years old.
7	Employee Change of Status	This series contains weekly reports of daily actions on employee's status. Changes include: transfers, pay increases, promotions, and other relevant information.	10	ADM-1.33.L	Calendar	Cut off annually. Destroy 1 year after cutoff.
8	Employee Counseling Files	These series consists of records of contact with any employee and eligible dependent for personal problems such as alcohol/drug, family, marital, personal, social problems, and work-related problems.	10	ADM-1.26.A	Calendar	Destroy 3 years after termination of counseling.
9	Employee Medical Records	These files consists of the medical records for all employees of Brookhaven National Laboratory (BNL). They include original records of any contact with employee (either by phone or in person). These contacts include visits to the clinic, yearly physicals, and referrals. Telephone contacts with the employee are also recorded in these files. Occupational injuries, back to work slips, and retractive duty forms may also be found in these files.	10	ADM-1.21.1.A	Calendar	Cut off file at time of separation. Transfer folders to the local federal records center. Destroy 75 years after cutoff.

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10	Employment Eligibility Verification Form	This series consists of the employee eligibility verification (I-9) forms. The form provides verification on the employee's eligibility to work and is mandated by the Immigration and Naturalization Service (INS).	10	ADM-1.33.F	Calendar	Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff.
11	Equal Employment Opportunity (EEO)/Affirmative Action (AA) - Implementation	This series contains the implementation of Affirmative Action (AA) and Equal Employment Opportunity (EEO) initiatives. It includes the yearly plan which reflects activities in personnel movement, availability analysis, recruitment efforts, and the affirmative action goal for the laboratory.	10	ADM-1.25.H.1	Calendar	Destroy 5 years from date of plan.
12	Equal Employment Opportunity EEO/Affirmative Action (AA) - Case Records	This series contains information on complaints and/or concerns of employees relating to diversity and sexual harassment.	10	ADM-1.25.A	Calendar	Destroy 4 years after resolution of case.
13	Grievances and Arbitration	This series consists of documentation of arbitrations brought by unions against the Brookhaven National Laboratory (BNL), BNL's opening statements, arbitrators' findings, and all related documentation.	10	ADM-1.28.B	Calendar	Destroy 5 years after resolution of case.
14	Index - Personnel	This series consists of a personnel index file which includes current employee and guest information such as name; address; telephone number; department and life number. It may also include building history list and seniority list.	10	ADM-23.9	Calendar	Destroy or delete with the related records.
15	Labor Relations	This series contains folders which include information on the International Brotherhood of Electrical Workers (IBEW). Documentation includes: of labor union seniority lists, negotiation agreements, original signed contract, contract of operations committee files, joint job evaluation, labor grade study, minutes of arbitration, work jurisdiction including briefs and decisions, correspondence, and other related documents.	10	ADM-1.28.A.1	Calendar	Destroy 5 years after expiration of agreement.
16	Official Personnel Files - Active	This series contains <b>active</b> personnel employment history files maintained by the Human Resources Division (HR). It accounts for jobs held from the initial date of employment until the date of separation. This series may include but is not limited to: all personnel pay actions, resumes, proof of residence, life and health insurance coverage, military service documents, training received along with copies of certificates obtained, copy of background references, and any other information necessary to verify employment.	10	ADM-1.1.1	Calendar	Cut off file at time of separation. Transfer folders to the local federal records center. Destroy 75 years after cutoff.

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17	Official Personnel Files - Inactive	This series consists of <b>terminated</b> (separated) personnel employment history files maintained by the Human Resources Division (HR). Documents include: termination papers, employment applications, hire requests, employment offer letter, resumes, diplomas, patent agreements, employee kardex index card, insurance papers, conflict of interest forms, visa documentation, 108 forms (change of status), correspondence and other related papers.	10	ADM-1.1.1	Calendar	Cut off at time of separation. Transfer folders to the local federal records center. Destroy 75 years after cutoff.
18	Performance Appraisals	This series contains original, signed job performance evaluations used to evaluate an employee's performance on the job. Although, this series is usually found within the Supervisor Personnel Files, they can be maintained as a stand alone series. These forms are completed by the supervisor and/or Group Leader. The evaluations are used in conjunction with the annual appraisal of job performance as a guideline to judging performance in various categories. There is a section for the employee to comment on his/her rating. It is kept for reference and used for job/task functions.	10	ADM-1.23.A.4	fiscal	Destroy 4 years after date of appraisal.
19	R2A2	This series consists of the signed record copy of position descriptions that include information on title, series, grade, duties, and responsibilities and related information for each employee of Brookhaven National Laboratory (BNL). The record copies are kept within the department/divisions. These documents are used for job/task functions and are kept for reference, verification, assessment, and auditing purposes.	1	ADM-1.7.B	Calendar	Destroy 75 years after position is abolished or description is superseded.
20	Supervisor Personnel Files	This series contains personnel files of employees in the ( <b>list Dept/Div/Office</b> ). Documents in this series include, but are not limited to, records relating to positions, authorizations, pending actions, position descriptions (R2A2), requests for personnel actions, forms, correspondence, and records on individual employees duplicated in or not appropriate for the Official Personnel File. This series is kept for reference and used for job/task functions.	10	ADM-1.18.A	Calendar	Review annually and destroy when superseded or obsolete, or destroy file relating to an employee within 1 year after separation or transfer.