Request for Records Disposition Authority

Records Schedule Number: DAA-GRS-2018-0002

Schedule Status: Appraiser Working Version

Agency or Establishment: General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group: General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject: GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

Internal agency concurrences will be provided: No

Background Information:
This schedule covers records documenting activities related to managing relationships between the agency, its employees, and its unions and bargaining units. Additional copies of these records, when held by supervisors or managers in program offices, are supervisory files covered under GRS 2.2, item 080.

<table>
<thead>
<tr>
<th>Item Count</th>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
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<tbody>
<tr>
<td>15</td>
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</table>

GAO Approval: PENDING -- NOT APPROVED FOR USE
Outline of Records Schedule Items for DAA-GRS-2018-0002

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Description</th>
<th>Disposition Authority Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Employee relations programs' administrative records.</td>
<td>DAA-GRS-2018-0002-0001</td>
</tr>
<tr>
<td>2</td>
<td>Reasonable accommodation case files.</td>
<td>DAA-GRS-2018-0002-0002</td>
</tr>
<tr>
<td>3</td>
<td>Dislocated worker program case files.</td>
<td>DAA-GRS-2018-0002-0003</td>
</tr>
<tr>
<td>4</td>
<td>Telework/alternate worksite program case files.</td>
<td>DAA-GRS-2018-0002-0004</td>
</tr>
<tr>
<td>5</td>
<td>Harassment complaint case files.</td>
<td>DAA-GRS-2018-0002-0005</td>
</tr>
<tr>
<td>6</td>
<td>Administrative grievance, disciplinary, performance-based, and adverse action cases</td>
<td>DAA-GRS-2018-0002-0006</td>
</tr>
<tr>
<td>7</td>
<td>Alternative Dispute Resolution (ADR) case files.</td>
<td></td>
</tr>
<tr>
<td>7.1</td>
<td>Informal process.</td>
<td>DAA-GRS-2018-0002-0007</td>
</tr>
<tr>
<td>7.2</td>
<td>Formal process.</td>
<td>DAA-GRS-2018-0002-0008</td>
</tr>
<tr>
<td>8</td>
<td>Merit Systems Protection Board (MSPB) case files.</td>
<td>DAA-GRS-2018-0002-0009</td>
</tr>
<tr>
<td>9</td>
<td>Labor arbitration (negotiated grievance procedure) case records.</td>
<td>DAA-GRS-2018-0002-0010</td>
</tr>
<tr>
<td>10</td>
<td>Federal Labor Relations Authority (FLRA) case files.</td>
<td>DAA-GRS-2018-0002-0011</td>
</tr>
<tr>
<td>11</td>
<td>EEO discrimination complaint case files.</td>
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<tr>
<td>11.1</td>
<td>Informal process.</td>
<td>DAA-GRS-2018-0002-0012</td>
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<tr>
<td>11.2</td>
<td>Formal process.</td>
<td>DAA-GRS-2018-0002-0013</td>
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<tr>
<td>12</td>
<td>Records documenting contractor compliance with EEO regulations.</td>
<td>DAA-GRS-2018-0002-0014</td>
</tr>
<tr>
<td>13</td>
<td>Labor management relations agreement negotiation records.</td>
<td>DAA-GRS-2018-0002-0015</td>
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</table>
### Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Employee relations programs’ administrative records.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Disposition Authority Number DAA-GRS-2018-0002-0001</td>
</tr>
<tr>
<td></td>
<td>Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes: • program-related correspondence • copies of statutes, regulations, directives, and instructions • timetables and guidelines for processing case files and appealing decisions • planning records • meeting minutes • program evaluations and reports to senior management • statistical records tracking program participation and participants • records tracking programs’ compliance with relevant Executive Orders and other requirements • records arranging for outside mediator and facilitator involvement in case settlements Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule). Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050). Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</td>
</tr>
<tr>
<td>Final Disposition</td>
<td>Temporary</td>
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<tr>
<td>Item Status</td>
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<tr>
<td>Is this item media neutral?</td>
<td>Yes</td>
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<tr>
<td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td>
<td>Yes</td>
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<tr>
<td>Do any of the records covered by this item exist as structured electronic data?</td>
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<td>Manual Citation</td>
<td>GRS 2.3, item 010</td>
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<td>Manual Title</td>
<td>DAA-GRS-2015-0007-0001</td>
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<td>GRS or Superseded Authority Citation</td>
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<td>DAA-GRS-2015-0007-0019</td>
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<tr>
<td></td>
<td>DAA-GRS-2015-0007-0021</td>
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</table>
Disposition Instruction

| Retention Period | Destroy when 3 years old, but longer retention is authorized if required for business use. |

Additional Information

| GAO Approval | Not Required |

Reasonable accommodation case files.

Disposition Authority Number

| DAA-GRS-2018-0002-0002 |

Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Includes: • request, approvals and denials • notice of procedures for informal dispute resolution or appeal processes • forms, correspondence, records of oral conversations • policy guidance documents • medical records • supporting notes and documentation

Final Disposition

| Temporary |

Item Status

| Pending |

Is this item media neutral?

| Yes |

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

| Yes |

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

| Yes |

<table>
<thead>
<tr>
<th>Manual Citation</th>
<th>Manual Title</th>
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<tbody>
<tr>
<td>GRS 2.3, item 020</td>
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GRS or Superseded Authority Citation

| DAA-GRS-2015-0007-0005 |

Disposition Instruction

| Retention Period | Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention is authorized if required for business use. |

Additional Information

| GAO Approval | Not Required |

PENDING -- NOT APPROVED FOR USE
Dislocated worker program case files.

Disposition Authority Number: DAA-GRS-2018-0002-0003

Includes applications, registrations, supporting documentation.

Final Disposition: Temporary

Item Status: Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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

Manual Citation: GRS 2.3, item 030

Manual Title: DAA-GRS-2015-0007-0020

Disposition Instruction: Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.

Telework/alternate worksite program case files.

Disposition Authority Number: DAA-GRS-2018-0002-0004

Includes: • agency/employee agreements • records such as questionnaires relating to the safety of the worksite • records documenting worksite safety and equipment; hardware, and software installation and use; and offsite use of secure, classified information or data subject to the Privacy Act or agencies’ Personally Identifiable Information policies

Final Disposition: Temporary

Item Status: Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in PENDING -- NOT APPROVED FOR USE
Harassment complaint case files.

Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes: • complaint, correspondence, notes, forms, and supporting material • records of investigation, statements of witnesses • determination as to whether harassment occurred • documentation of preventive or corrective measures Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.

Final Disposition
Temporary

Item Status
Pending

Is this item media neutral?
Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?
Yes

Do any of the records covered by this item exist as structured electronic data?
Yes
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<tr>
<td>Disposition Instruction</td>
<td></td>
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<tr>
<td>Retention Period</td>
<td>Destroy 7 years after close of case, but longer retention is authorized if required for business use.</td>
</tr>
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<td>Additional Information</td>
<td></td>
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<td>GAO Approval</td>
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<tr>
<td>Administrative grievance, disciplinary, performance-based, and adverse action case files.</td>
<td></td>
</tr>
<tr>
<td>Disposition Authority Number</td>
<td>DAA-GRS-2018-0002-0006</td>
</tr>
<tr>
<td>• Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: o statement of grievance, supporting documentation, and evidence o statements of witnesses, records of interviews and hearings o examiner’s findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: o performance appraisal, performance improvement plan, and supporting documents o recommended action, employee’s reply o records of hearings and decisions o records of appeals • Records of adverse actions against employees. Includes: o proposed adverse action, employee's reply o statements of witnesses o records of hearings and decisions o letters of reprimand o records of appeals Note 1: Letter of reprimand filed in an employee’s Official Personnel File is scheduled by GRS 2.2, item 041. Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</td>
<td></td>
</tr>
<tr>
<td>Final Disposition</td>
<td>Temporary</td>
</tr>
<tr>
<td>Item Status</td>
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<tr>
<td>Is this item media neutral?</td>
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<tr>
<td>Manual Citation</td>
<td>GRS 2.3, item 060</td>
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PENDING -- NOT APPROVED FOR USE
Disposition Instruction

Retention Period

Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.

Additional Information

GAO Approval

Not Required

7

Alternative Dispute Resolution (ADR) case files.
Includes: • agreements to use ADR • records of intake and process • records of settlement or discontinuance of case • parties' written evaluations of the process

7.1

Informal process.

Disposition Authority Number

DAA-GRS-2018-0002-0007

Records not associated with another employee dispute, complaint or grievance process.

Final Disposition

Temporary

Item Status

Pending

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

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

Yes

Manual Citation

GRS 2.3, item 070

Manual Title

GRS or Superseded Authority Citation

DAA-GRS-2015-0007-0002

Disposition Instruction

Retention Period

Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.

Additional Information

GAO Approval

Not Required

7.2

Formal process.

PENDING -- NOT APPROVED FOR USE
Disposition Authority Number | DAA-GRS-2018-0002-0008
--- | ---
Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.

**Final Disposition** | Temporary
--- | ---
**Item Status** | Pending
**Is this item media neutral?** | Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes
Do any of the records covered by this item exist as structured electronic data? | Yes

**Manual Citation** | GRS 2.3, item 071
--- | ---
**Manual Title** | GRS 2.3, item 071

**GRS or Superseded Authority Citation** | DAA-GRS-2015-0007-0003

**Disposition Instruction**

**Retention Period** | Destroy 7 years after case is closed, but longer retention is authorized if required for business use.

**Additional Information**

**GAO Approval** | Not Required

**Merit Systems Protection Board (MSPB) case files.**

Disposition Authority Number | DAA-GRS-2018-0002-0009

Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include: • petitions for appeal, agencies’ responses to petitions • hearing notices, transcripts, testimony, briefs, and exhibits • MSPB initial decisions • petitions for review, responses of opposing party to petition • orders granting or denying intervention • MSPB final opinions, orders, and decisions

Exclusion: Corresponding case files at MSPB (must be scheduled by MSPB).

**Final Disposition** | Temporary
--- | ---
**Item Status** | Pending
**Is this item media neutral?** | Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes
### Item Description

**Labor arbitration (negotiated grievance procedure) case records.**

**Disposition Authority Number**: DAA-GRS-2018-0002-0010

**Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.**

**Final Disposition**: Temporary

**Item Status**: Pending

**Is this item media neutral?**: Yes

**Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**: Yes

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

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<table>
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<tr>
<td>GRS 2.3, item 080</td>
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</tbody>
</table>

**Disposition Instruction**

**Retention Period**: Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.

**Additional Information**

**GAO Approval**: Not Required

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**GRS or Superseded Authority Citation**: DAA-GRS-2015-0007-0016

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**Disposition Instruction**

**Retention Period**: Destroy 3 years after close of case, but longer retention is authorized if required for business use.

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**Additional Information**

**GAO Approval**: Not Required
Federal Labor Relations Authority (FLRA) case files.

Disposition Authority Number: DAA-GRS-2018-0002-0011

Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include: • records of representation proceedings • petitions, notice of petitions, cross-petitions, motions • records documenting adequate showing of interest • challenges to the status of a labor organization • records of meetings, hearings, and prehearing conferences • statements of witnesses • dismissals of petitions • decisions, orders • records of unfair labor practices proceedings • charges/allegations of unfair labor practices, amendments, and supporting evidence • records of charges/allegations investigation, including subpoenas • records of hearings • records of decisions and settlements • records of negotiability proceedings • petitions for review • records of post-petition conferences • agencies’ statements of position, unions’ responses, and agencies’ counter-responses • records of post-petition conferences • decisions, orders • records of review of arbitration awards • exceptions to arbitrators’ award rendered pursuant to arbitrations • oppositions to exceptions • records of review of arbitration awards • exceptions to arbitrators’ award rendered pursuant to arbitrations • oppositions to exceptions • determination of grounds for review • decisions, orders

Exclusion: Corresponding case files at FLRA (must be scheduled by FLRA).

Final Disposition: Temporary
Item Status: Pending
Is this item media neutral?: Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?: Yes
Do any of the records covered by this item exist as structured electronic data?: Yes

Manual Citation
GRS 2.3, item 100

Disposition Instruction
Retention Period: Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.

Additional Information
GAO Approval: Not Required
EEO discrimination complaint case files.
11.1 Informal process.

Disposition Authority Number: DAA-GRS-2018-0002-0012

Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.

Final Disposition: Temporary

Item Status: Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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

Manual Citation  Manual Title

GRS 2.3, item 110

GRS or Superseded Authority Citation

DAA-GRS-2015-0007-0007
DAA-GRS-2015-0007-0009

Disposition Instruction

Retention Period

Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.

Additional Information

GAO Approval: Not Required

11.2 Formal process.

Disposition Authority Number: DAA-GRS-2018-0002-0013

Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings. Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).

Final Disposition: Temporary

Item Status: Pending

Is this item media neutral? Yes

PENDING -- NOT APPROVED FOR USE
### Records Documenting Contractor Compliance with EEO Regulations

- **Manual Citation**: GRS 2.3, item 120
- **GRS or Superseded Authority Citation**: DAA-GRS-2015-0007-0010
- **Disposition Authority Number**: DAA-GRS-2018-0002-0014
- **Final Disposition**: Temporary
- **Item Status**: Pending
- **GAO Approval**: Not Required
- **Is this item media neutral?**: Yes
- **Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**: Yes
- **Do any of the records covered by this item exist as structured electronic data?**: Yes
- **Disposition Instruction**: PENDING -- NOT APPROVED FOR USE

### Reviews, Background Documents, and Correspondence Relating to Contractor Employment Practices

- **Manual Citation**: GRS 2.3, item 111
- **GRS or Superseded Authority Citation**: DAA-GRS-2015-0007-0008
- **Disposition Authority Number**: DAA-GRS-2018-0002-0014
- **Final Disposition**: Temporary
- **Item Status**: Pending
- **GAO Approval**: Not Required
- **Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?**: Yes
- **Do any of the records covered by this item exist as structured electronic data?**: Yes
- **Disposition Instruction**: PENDING -- NOT APPROVED FOR USE
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<th>Retention Period</th>
<th>Destroy when 7 years old, but longer retention is authorized if required for business use.</th>
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<td>Additional Information</td>
<td></td>
</tr>
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<td>GAO Approval</td>
<td>Not Required</td>
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**Labor management relations agreement negotiation records.**

**Disposition Authority Number** DAA-GRS-2018-0002-0015

Records relating to negotiations with labor unions. Includes: • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence, memoranda, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

**Final Disposition** Temporary

**Item Status** Pending

**Is this item media neutral?** Yes

**Do any of the records covered by this item exist in electronic format(s) other than e-mail and word processing?** Yes

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

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</table>

**GRS or Superseded Authority Citation**

DAA-GRS-2015-0007-0014

DAA-GRS-2015-0007-0015

**Disposition Instruction**

Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.

**Additional Information**

**GAO Approval** Not Required
Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/05/2018</td>
<td>Certify</td>
<td>Margaret Hawkins</td>
<td>Director of Records Management Services</td>
<td>National Records Management Program - ACNR Records Management Services</td>
</tr>
</tbody>
</table>
Executive Summary

Summary
Permanent Item Numbers
Federal Register Notice
Publication Date
Copies Requested 0
Comments Received 0