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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.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
15	0	15	0

GAO Approval

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Outline of Records Schedule Items for DAA-GRS-2018-0002

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

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Records Schedule Items

Sequence Number					
1	<p>Employee relations programs' administrative records.</p> <p>Disposition Authority Number DAA-GRS-2018-0002-0001</p> <p>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).</p> <p>Final Disposition Temporary</p> <p>Item Status Pending</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1"><thead><tr><th>Manual Citation</th><th>Manual Title</th></tr></thead><tbody><tr><td>GRS 2.3, item 010</td><td></td></tr></tbody></table> <p>GRS or Superseded Authority Citation DAA-GRS-2015-0007-0001 DAA-GRS-2015-0007-0004 DAA-GRS-2015-0007-0006 DAA-GRS-2015-0007-0012 DAA-GRS-2015-0007-0019 DAA-GRS-2015-0007-0021</p>	Manual Citation	Manual Title	GRS 2.3, item 010	
Manual Citation	Manual Title				
GRS 2.3, item 010					

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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

Manual Citation	Manual Title
GRS 2.3, item 020	

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

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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	Manual Title
GRS 2.3, item 030	

GRS or Superseded Authority
Citation DAA-GRS-2015-0007-0020

Disposition Instruction

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

Additional Information

GAO Approval Not Required

4

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

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electronic format(s) other than e-mail and word processing?

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

Manual Citation	Manual Title
GRS 2.3, item 040	

GRS or Superseded Authority Citation **DAA-GRS-2015-0007-0022**

Disposition Instruction

Retention Period **Destroy when superseded or obsolete or 1 year after end of employee's participation in program, whichever is sooner, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Harassment complaint case files.

Disposition Authority Number **DAA-GRS-2018-0002-0005**

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**

Manual Citation	Manual Title
GRS 2.3, item 050	

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GRS or Superseded Authority Citation DAA-GRS-2015-0007-0013

Disposition Instruction

Retention Period Destroy 7 years after close of case, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Administrative grievance, disciplinary, performance-based, and adverse action case files.

Disposition Authority Number DAA-GRS-2018-0002-0006

- 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.

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 060	

GRS or Superseded Authority Citation DAA-GRS-2015-0007-0017
Citation DAA-GRS-2015-0007-0018

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DAA-GRS-2015-0007-0023

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

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

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	Manual Title
GRS 2.3, item 070	

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

Formal process.

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7.1

7.2

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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	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

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

Manual Citation	Manual Title
GRS 2.3, item 080	

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**

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**

Manual Citation	Manual Title
GRS 2.3, item 090	

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

Disposition Instruction

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

Additional Information

GAO Approval **Not Required**

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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 o petitions, notice of petitions, cross-petitions, motions o records documenting adequate showing of interest o challenges to the status of a labor organization o records of meetings, hearings, and prehearing conferences o statements of witnesses o dismissals of petitions o decisions, orders • records of unfair labor practices proceedings o charges/allegations of unfair labor practices, amendments, and supporting evidence o records of charges/allegations investigation, including subpoenas o complaints by FLRA Regional Director o motions, responses, stipulations o records of hearings o records of decisions and settlements • records of negotiability proceedings o petitions for review o records of post-petition conferences o agencies' statements of position, unions' responses, and agencies' counter-responses o records of post-petition conferences o decisions, orders • records of review of arbitration awards o exceptions to arbitrators' award rendered pursuant to arbitrations o oppositions to exceptions o determination of grounds for review o 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	Manual Title
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

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EEO discrimination complaint case files.

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11.1

Includes: • intake sheet • summary report • notes • supporting documentation • correspondence

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

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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 111	

GRS or Superseded Authority Citation **DAA-GRS-2015-0007-0008**

Disposition Instruction

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

Additional Information

GAO Approval **Not Required**

Records documenting contractor compliance with EEO regulations.

Disposition Authority Number **DAA-GRS-2018-0002-0014**

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

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 120	

GRS or Superseded Authority Citation **DAA-GRS-2015-0007-0010**

Disposition Instruction

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Retention Period Destroy when 7 years old, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

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 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 130	

GRS or Superseded Authority Citation DAA-GRS-2015-0007-0014
DAA-GRS-2015-0007-0015

Disposition Instruction

Retention Period 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

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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

Date	Action	By	Title	Organization
01/05/2018	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

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Executive Summary

Summary

Permanent Item Numbers

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

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