

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2020-0012

Schedule Status Approved

Agency or Establishment Department of Energy

Record Group / Scheduling Group General Records of the Department of Energy

Records Schedule applies to Agency-wide

Schedule Subject DEPARTMENT OF ENERGY - Records Disposition Schedule: DOE
2.3: Employee Relations Records

Internal agency concurrences will
be provided No

Background Information Records documenting activities related to managing relationships
between the DOE/DOE contractor, its employees, its unions, and
bargaining units. Records include the apprenticeship program. The
records are those maintained by offices dealing with employee
relations functions, regardless of office placement in organizational
structure.

NOTE: Refer to GRS 2.3 for all other Employee Relations records not
addressed in this schedule.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0434-2020-0012

Sequence Number	
1	Apprenticeship Program Records Disposition Authority Number: DAA-0434-2020-0012-0001
2	Labor Management Relations Agreement Negotiation and Administrative Records (Contractor) Disposition Authority Number: DAA-0434-2020-0012-0002
3	Labor Arbitration (negotiated grievance procedure) Case Records (Contractor) Disposition Authority Number: DAA-0434-2020-0012-0003
4	National Labor Relations Board (NLRB) Case Files (Contractor) Disposition Authority Number: DAA-0434-2020-0012-0004

Records Schedule Items

Sequence Number						
1	Apprenticeship Program Records Disposition Authority Number DAA-0434-2020-0012-0001 Apprenticeship program records include but are not limited to: policies and procedures, reporting requirements, tracking participation, and compliance documents. Apprenticeship employee records on individuals that have successfully completed all aspect of the program or those that terminate or are terminated prior to completion of the program. Records include, but are not limited to: external training classroom, practical instruction records, reports of progress, correspondence, testing and evaluations, and other pertinent information developed during the apprenticeship term (Citations) 29 CFR Occupational Safety & Health Standards • 29 CFR 1602.20 Recordkeeping and Reporting Requirements under Title VII, the ADA and GINA – Apprenticeship Recordkeeping – Records to be made or kept • 29 CFR 1602.20 Recordkeeping and Reporting Requirements under Title VII, the ADA and GINA – Apprenticeship Recordkeeping – Preservation of records made or kept Final Disposition Temporary Item Status Active 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 border="1"> <thead> <tr> <th>Manual Citation</th> <th>Manual Title</th> </tr> </thead> <tbody> <tr> <td>DOE 2.3, item 010</td> <td>Apprenticeship Program Records</td> </tr> </tbody> </table>	Manual Citation	Manual Title	DOE 2.3, item 010	Apprenticeship Program Records	
Manual Citation	Manual Title					
DOE 2.3, item 010	Apprenticeship Program Records					
	Disposition Instruction Retention Period Destroy 6 years after collective bargaining agreement (CBA) is no longer in effect OR after final payment is made to the contract in which the CBA applies, whichever is longer. Additional Information GAO Approval Not Required					

2

Labor Management Relations Agreement Negotiation and Administrative Records (Contractor)

Disposition Authority Number **DAA-0434-2020-0012-0002**

Records relating to the negotiated agreements and general relationship between contractor management, employee unions and other groups. Records include, but are not limited to: negotiation agreements, collective bargaining agreement, requests to bargain, bargaining session, records/notes, correspondence, reports, seniority rosters, union organizing drives, and meeting minutes. Note: GRS 2.3, item 130 does not apply to contractor records.

Final Disposition **Temporary**

Item Status **Active**

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
DOE 2.3, item 020	Labor Management Relations Agreement Negotiation and Administrative Records (Contractor)

GRS or Superseded Authority Citation **N1-434-92-4 / 23/B/1**

Disposition Instruction

Retention Period **Destroy 6 years after final payment is made to the contract in which the record applies**

Additional Information

GAO Approval **Not Required**

3

Labor Arbitration (negotiated grievance procedure) Case Records (Contractor)

Disposition Authority Number **DAA-0434-2020-0012-0003**

Case files for labor arbitration related to the collective bargaining. Records include but are not limited to: Labor Arbitration Records or workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration Note: GRS 2.3, item 090 does not apply to contractor records.

Final Disposition **Temporary**

4	Item Status	Active				
	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 border="1"> <tr> <th>Manual Citation</th> <th>Manual Title</th> </tr> <tr> <td>DOE 2.3, item 030</td> <td>Labor Arbitration (negotiated grievance procedure) Case Records (Contractor)</td> </tr> </table>		Manual Citation	Manual Title	DOE 2.3, item 030	Labor Arbitration (negotiated grievance procedure) Case Records (Contractor)
	Manual Citation	Manual Title				
	DOE 2.3, item 030	Labor Arbitration (negotiated grievance procedure) Case Records (Contractor)				
	GRS or Superseded Authority Citation	N1-434-98-4 / 28/1 N1-434-98-4 / 52/A N1-434-98-4 / 53				
	Disposition Instruction					
	Retention Period	Destroy 6 years after final payment is made to the contract in which the CBA applies.				
Additional Information						
GAO Approval	Not Required					
National Labor Relations Board (NLRB) Case Files (Contractor)						
Disposition Authority Number	DAA-0434-2020-0012-0004					
<p>Records of cases filed under provisions under the National Labor Relations Act concerning representation, unfair labor practices, and review of arbitration awards. Records may include, but are not limited to: records of representation proceedings, petitions, notice of petitions, cross-petitions, motions, records documenting adequate showing of , challenges to the status of a labor , records of meetings, hearings, and prehearing conferences, statements of witnesses, dismissals of petitions, decisions, orders, certification or decertification, records of unfair labor practices proceedings, charges/allegations of unfair labor practices, amendments, and supporting evidence, records of charges/allegations investigations, including subpoenas, motions, responses, stipulations, records of hearings, records of decisions and settlements, records of review of arbitration awards and reports and documentation on NLRB charges and resolutions/outcomes Note: GRS 2.3, item 100 does not apply to contractor records where the NLRB would apply.</p>						
Final Disposition	Temporary					
Item Status	Active					
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
DOE 2.3, item 040	National Labor Relations Board (NLRB) Case Files (Contractor)

Disposition Instruction

Retention Period **Destroy 6 years after final payment is made to the
contract.**

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

Date	Action	By	Title	Organization
05/20/2021	Certify	Maria Levesque	Departmental Records Officer	OCIO - Records Management
06/09/2022	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/09/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/10/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/14/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office

Department of Energy (DOE 2.3: Employee Relations Records)

DOE Records Disposition Schedule (RDS)							
New DOE 2.3				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
DOE 2.3	010	10 years	DAA-0434-2020-0012-0016	ADM 1	45a	4 years	N1-434-98-4, item 45a
				ADM 1	45b	10 years	N1-434-98-4, item 45b
DOE 2.3	020	6 years	DAA-0434-2020-0012-0017	ADM 1	28.1	10 years	N1-434-98-4, item 28.1
				ADM 1	52a	10 years	N1-434-98-4, item 52a
				Las Vegas Contractor Schedule 1		5 years	N1-434-92-4, Item 23a(1)(1)
						3 years	N1-434-92-4, item 23b(1)
DOE 2.3	030	6 years	DAA-0434-2020-0012-0018	New Item			
DOE 2.3	040	6 years	DAA-0434-2020-0012-0019	ADM 1	53	10 years	N1-434-98-4, item 53
DOE Records Disposition Schedules Cross-walked to the GRS							
GRS 2.3	010	3 years	DAA-GRS-2018-0002-0001	Las Vegas Contractor Schedule 1		3 years	N1-434-92-4, item 20d(2)
						5 years	N1-434-92-4, item 20f
						5 years	N1-434-92-4, item 20g
						5 years	N1-434-92-4, item 20h(1)
						5 years	N1-434-92-4, item 20h(2)
						5 years	N1-434-92-4, item 20h(3)
						5 years	N1-434-92-4, item 20h(4)
GRS 2.3	110	3 years	DAA-GRS-2015-0007-0007	Las Vegas Contractor Schedule 1		4 years	N1-434-92-4, item 20a (in part)
						2 years	N1-434-92-4, item 20c (in part)
GRS 2.3	111	7 years	DAA-GRS-2015-0007-0008	Las Vegas Contractor Schedule 1		4 years	N1-434-92-4, item 20a (in part)
						2 years	N1-434-92-4, item 20c (in part)
GRS 2.3	120	7 years	DAA-GRS-2015-0007-0010	Las Vegas Contractor Schedule 1		7 years	N1-434-92-4, item 20d(1)
Rescinded				ADM 1	52b	2 years	N1-434-98-4, item 52b
				Las Vegas Contractor Schedule 1		1 year	N1-434-92-4, item 20b
						Superseded	N1-434-92-4, item 23a(1)(2)

General Record Schedules (GRS)							
Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.							
New GRS 2.3				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
GRS 2.3	010	3 years	DAA-GRS-2018-0002-0001	GRS 1	27a	3 years	N1-GRS-03-2, item a
				GRS 1	24a	3 years	N1-GRS-04-2, item 1a
				GRS 1	24d	3 years	N1-GRS-04-2, item 1d
				GRS 1	25g	3 years	NC1-64-77-10, item 26g

Department of Energy (DOE 2.3: Employee Relations Records)

General Record Schedules (GRS)							
Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.							
New GRS 2.3				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
				New Item			
				GRS 1	33s	90 days	NC1-GRS-85-2, item 34o
				GRS 1	42c (in part)	1 year	N1-GRS-97-7, item 1c (in part)
GRS 2.3	020	3 years	DAA-GRS-2018-0002-0002	GRS 1	24b	3 years	N1-GRS-04-2, item 1b
				GRS 1	24c	3 years	N1-GRS-04-2, item 1c
GRS 2.3	030	1 year	DAA-GRS-2018-0002-0003	GRS 1	33r	Termination of eligibility	NC1-GRS-85-2, item 34n
GRS 2.3	040	1 year	DAA-GRS-2018-0002-0004	GRS 1	42a	1 year	N1-GRS-97-1, item 1a
				GRS 1	42b	1 year	N1-GRS-97-1, item 1b
				GRS 1	42c (in part)	1 year	N1-GRS-97-1, item 1c (in part)
GRS 2.3	050	7 years	DAA-GRS-2018-0002-0005	New Item			
GRS 2.3	060	4 to 7 years <i>DOE Business Use: 4 years</i>	DAA-GRS-2018-0002-0006	GRS 1	30a	4 to 7 years	N1-GRS-92-1, item 30a
				GRS 1	30b (in part)	4 to 7 years	N1-GRS-92-1, item 30b
				GRS 1	30b (in part)	4 to 7 years	N1-GRS-92-1, item 30b
GRS 2.3	070	3 years	DAA-GRS-2018-0002-0007	GRS 1	27b (in part)	3 years	N1-GRS-03-2, item b
GRS 2.3	071	7 years	DAA-GRS-2018-0002-0008	GRS 1	27b (in part)	3 years	N1-GRS-03-2, item b
GRS 2.3	080	3 years	DAA-GRS-2018-0002-0009	New Item			
GRS 2.3	090	3 years	DAA-GRS-2018-0002-0010	GRS 1	28b	5 years	NC1-64-77-10, item 29b
GRS 2.3	100	3 years	DAA-GRS-2018-0002-0011	New Item			
GRS 2.3	110	3 years	DAA-GRS-2018-0002-0012	GRS 1	25a (in part)	4 years	NC1-GRS-80-9, item 1
				GRS 1	25c1	2 years	N1-GRS-92-3, item 25c1
				GRS 1	25c2	2 years	N1-GRS-92-3, item 25c2
GRS 2.3	111	7 years	DAA-GRS-2018-0002-0013	GRS 1	25a (in part)	4 years	NC1-GRS-80-9, item 1
GRS 2.3	120	7 years	DAA-GRS-2018-0002-0014	GRS 1	25d1	7 years	NC1-64-77-10, item 26d1
GRS 2.3	130	5 years	DAA-GRS-2018-0002-0015	GRS 1	28a1	5 years	NC1-64-77-10, item 29a1 N1-434-98-4, item 28.1 was an approved deviation from the GRS
				GRS 1	28a2	Superseded or obsolete	NC1-64-77-10, item 29a2
GRS 5.7	050	6 years	DAA-GRS-2017-0008-0005	GRS 1	25d2	3 years	NC1-64-77-10, item 26d2
				GRS 1	25f	5 years	NC1-64-77-10, item 26f
				GRS 1	25h1	5 years	NC1-64-76-4, item 27a
				GRS 1	25h2	5 years	NC1-64-76-4, item 27b
				GRS 1	25h3	5 years	NC1-GRS-83-2, item 1
				GRS 1	25h4	5 years	NC1-GRS-83-4, item 26h4
				GRS 1	25b	1 year	NC1-64-77-10, item 26b

Department of Energy (DOE 2.3: Employee Relations Records)

General Record Schedules (GRS)							
Note: GRS items listed below may have been listed in the DOE Administrative Schedules, as a DOE schedule with a GRS authority.							
New GRS 2.3				Old Authorities			
Schedule No.	Item No.	Retention	ERA Number/ Disposition Authority	Schedule No.	Item No.	Retention	Disposition Authority
Rescinded				GRS 1	25e	1 year	NC1-64-77-10, item 26e