GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

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.

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| 010  | **Employee relations programs’ administrative records.**  
   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). | Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. | DAA-GRS-2018-0002-0001 |
| 020  | **Reasonable accommodation case files.**  
   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 | Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later, but longer retention | DAA GRS 2018 0002 0002 |
### General Records Schedule 2.3

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<td>030</td>
<td><strong>Dislocated worker program case files.</strong> Includes applications, registrations, supporting documentation.</td>
<td><strong>Temporary.</strong> Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2018-0002-0003</td>
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| 040  | **Telework/alternate worksite program case files.** 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 | **Temporary.** 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. | DAA-GRS-2018 0002 0004 |
| 050  | **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. | **Temporary.** Destroy 7 years after close of case, but longer retention is authorized if required for business use.                                                                                      | DAA-GRS-2018-0002-0005 |
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| 060  | Administrative grievance, disciplinary, performance-based, and adverse action case files.  
|      | • 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 (suspension, removal, reduction in grade, reduction in pay, or furlough) 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.  
| 070  | Alternative Dispute Resolution (ADR) case files.  
|      | Includes:  
|      | • agreements to use ADR  
|      | • records of intake and process  
|      | Informal process.  
|      | Records not associated with another employee dispute, complaint or grievance process.  
|      | Temporary. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.  
<p>|      | DAA-GRS-2018-0002-0007 |</p>
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| 071  | • records of settlement or discontinuance of case  
   • parties’ written evaluations of the process | **Temporary.** Destroy 7 years after case is closed, but longer retention is authorized if required for business use. | DAA-GRS-2018-0002-0008 |
| 080  | **Merit Systems Protection Board (MSPB) case files.**  
   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 | **Temporary.** Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use. | DAA-GRS-2018-0002-0009 |
| 090  | **Labor arbitration (negotiated grievance procedure) case records.**  
   Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration. | **Temporary.** Destroy 3 years after close of case, but longer retention is authorized if required for business use. | DAA-GRS-2018-0002-0010 |
| 100  | **Federal Labor Relations Authority (FLRA) case files.**  
   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 | **Temporary.** Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use. | DAA-GRS-2018-0002-0011 |
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<td><strong>Temporary.</strong> Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2018-0002-0012</td>
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<td>110</td>
<td>EEO discrimination complaint case files.</td>
<td>Informal process. 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.</td>
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<td>111</td>
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<td>Formal process. 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.</td>
<td>Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</td>
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**Exclusion:** Corresponding case files at FLRA (must be scheduled by FLRA).
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<td><strong>Exclusion:</strong> Corresponding case files at EEOC (must be scheduled by EEOC).</td>
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<td>120</td>
<td><strong>Records documenting contractor compliance with EEO regulations.</strong> Reviews, background documents, and correspondence relating to contractor employment practices.</td>
<td>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2018-0002-0014</td>
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<td>130</td>
<td><strong>Labor management relations agreement negotiation records.</strong> 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</td>
<td>Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.</td>
<td>DAA-GRS-2018-0002-0015</td>
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