

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. The records are those maintained by agency offices that deal with employee relations functions, regardless of office placement in organizational structure. Copies held by supervisors/management in program offices are not covered by this schedule (as such copies may be part of supervisory files covered under GRS 2.2, Employee Management Records). Activities include: negotiating and administering labor contracts and collective bargaining agreements, managing grievances and other conflicts such as by providing alternative dispute resolution processes, Equal Employment Opportunity (EEO) activities, managing programs promoting work-life balance such as telework, providing employee reasonable accommodations and providing displaced employee programs. The scope of this schedule does not extend to programs that are considered employee benefits such as providing health care and retirement pensions.

Item	Records Description		Disposition Instruction	Disposition Authority
010	<p>Alternative Dispute Resolution (ADR) records.</p> <p>ADR is any dispute resolution process conducted by a neutral third party, or third parties, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration and use of ombuds. The records covered by this schedule relate to</p>	<p>ADR program files.</p> <p>This item refers to the program management and routine activities of offices running ADR processes. Includes:</p> <ul style="list-style-type: none"> • program-related correspondence (excludes case-related correspondence) • copies of statutes, regulations • meeting minutes • final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended • copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices) • evaluation records of the ADR program • other records relating to the agency's overall administration of its ADR program 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-0007-0001</p>
011		<p>ADR case files - Informal process.</p> <p>This item includes records that are not associated with another employee dispute, complaint or grievance process. Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR 	<p>Temporary. Destroy 3 years after case is closed, but longer disposition is</p>	<p>DAA-GRS-2015-0007-0002</p>

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	<p>techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees, or between the agency and the union(s).</p> <ul style="list-style-type: none"> • documentation of the settlement or discontinuance of the ADR case • parties' written evaluations of the process and/or the neutral third party mediator • correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program) 		authorized if required for business use.	
012	<p>ADR case files - Formal process. This item includes originals and copies of records generated in response to a referral from another dispute, grievance or complaint process (like EEO complaints or grievances). Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR • documentation of the settlement or discontinuance of the ADR case • parties' written evaluations of the process and/or the neutral third party mediator • correspondence related to intake, process, settlement, and evaluations (excluding evaluation records of ADR programs) 		Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0003
020	<p>Reasonable accommodation records. Includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and</p>	<p>Reasonable accommodation program files. Administrative records not linked to a case file. Includes:</p> <ul style="list-style-type: none"> • instructions • directives • notices • timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation • reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance • notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices 	Temporary. Destroy 3 years after being superseded, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0004

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021	reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.	<p>Reasonable accommodation employee case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or HR 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:</p> <ul style="list-style-type: none"> • request approvals and denials • notice of procedures for informal dispute resolution or appeal processes, including ADR processes • forms • correspondence • emails • policy guidance documents • records of oral conversations • medical records • supporting notes and documentation 	Temporary. 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.	DAA-GRS-2015-0007-0005
030	Equal Employment Opportunity (EEO) records.	<p>EEO program files. General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.</p>	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0006
031		<p>EEO official discrimination complaint case files – Informal process. Cases resolved within the agency that did not go to the formal process stage. Includes:</p> <ul style="list-style-type: none"> • intake sheet • summary report • notes • supporting documentation • correspondence 	Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0007

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	<p>Note: If a formal case is filed, all records in the prior informal case are covered by Item 032.</p>			
032	<p>EEO official discrimination complaint case files – Formal process. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court.</p> <p>Note: This item includes all records gathered in the informal process which become the formal process case file once a formal complaint is filed.</p>		<p>Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0008
033	<p>EEO case files that did not result in an EEO complaint. Includes cases that did not result in an official formal or informal EEO complaint.</p>		<p>Temporary. Destroy 2 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0009
034	<p>EEO compliance review files. Reviews, background documents, and correspondence relating to contractor employment practices.</p>		<p>Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0010
035	<p>EEO reports and employment statistics files. Includes the annual report to the EEOC, the annual report to Congress on the No FEAR Act, quarterly/monthly reports to senior leadership, and other related reports required by EEOC's MD 715 (such as the Analysis and Action Plans) or succeeding guidance as well as employment statistics files which support reporting requirements to Congress, the EEOC and other oversight entities.</p>		<p>Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use.</p>	DAA-GRS-2015-0007-0011
040	<p>Anti-harassment records. Records related to harassment outside of</p>	<p>Anti-harassment program files. Includes:</p> <ul style="list-style-type: none"> • program administration • correspondence 	<p>Temporary. Destroy 3 years after being superseded or obsolete, but longer retention is</p>	DAA-GRS-2015-0007-0012

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	<p>the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p> <ul style="list-style-type: none"> • program implementation records • reports and responses to oversight agencies and senior level management <p>Exclusion: This item does not apply to government-wide program oversight records created and received by OPM and EEOC.</p>		authorized if required for business use.	
041	<p>orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason.</p> <p>Note: Includes records focusing on reducing or eliminating sexual harassment in the workplace.</p>	<p>Anti-harassment complaint case files. Includes:</p> <ul style="list-style-type: none"> • correspondence • notes • relevant forms • supporting material • background information documentation documents relating to the agency investigation • statements of witnesses • documents relating to management’s determination as to whether harassment occurred • documentation of preventive or corrective measures taken by the agency • documents of interim or intermediate measures taken by the agency • other related records <p>Exclusion: Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including union grievance procedures), and reporting to the Office of Inspector General, are excluded from this series and should be included instead with the related case file.</p>	Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0013
050	<p>Labor management relations agreement negotiation records. Records relating to negotiations with labor unions. Includes:</p>	Office(s) responsible for negotiations.	Temporary. Destroy 5 years after expiration of agreement, but longer	DAA-GRS-2015-0007-0014

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	<ul style="list-style-type: none"> • negotiation agreements • requests to bargain 		retention is authorized if required for business use.	
051	<ul style="list-style-type: none"> • bargaining session records/notes • correspondence • memoranda 		Temporary. Destroy when no longer needed for business use.	DAA-GRS-2015-0007-0015
052	<ul style="list-style-type: none"> • reports • forms • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 		Temporary. Destroy 5 years after final resolution of case, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0016
060	<p>Administrative grievance, disciplinary, and adverse action files.</p> <p>Note: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, administrative grievance, adverse action and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention</p>	<p>Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:</p> <ul style="list-style-type: none"> • grievance documents (copy of original grievance submission and supporting documentation/evidence) • statements of witnesses • reports of interviews and hearings • examiner's findings and recommendations • copy of the original decision • related correspondence and exhibits <p>Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.</p>	Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed.	DAA-GRS-2015-0007-0017
061		<p>Adverse action files. Case files and records related to effected adverse actions against employees. Includes:</p> <ul style="list-style-type: none"> • copy of the proposed adverse action • supporting documents • statements of witnesses 	Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed.	DAA-GRS-2015-0007-0018

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	<p>period, between 4 and 7 years. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the agency's records disposition manual, and any other issuance dealing with the disposition of these records.</p>	<ul style="list-style-type: none"> • employee's reply • hearing notices • reports • decisions • appeal records • supporting documentation of letters of reprimand <p>Exclusion: Excludes letters of reprimand which are filed in the OPF.</p>		
062		<p>Performance-based action files. Case files and records related to effected performance based actions against employees. Includes:</p> <ul style="list-style-type: none"> • performance appraisal • performance improvement plan • supporting documents • copy of the proposed performance-based action • employee's reply • decision notices • hearing notices • appeal records 	<p>Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed.</p>	DAA-GRS-2015-0007-0023
070	<p>Displaced employee program files.</p> <p>Exclusion: These items do not apply to the Department of Defense.</p>	<p>Displaced employee program files. Includes:</p> <ul style="list-style-type: none"> • program related correspondence • program implementation records • reporting and tracking files sent to oversight agencies such as OPM, and to senior level management • control files • information collected about displaced employees 	<p>Temporary. Destroy 3 years after being superseded, but longer disposition is authorized if required for business use.</p>	DAA-GRS-2015-0007-0019
071		<p>Displaced employee program application records. Includes:</p> <ul style="list-style-type: none"> • applications 	<p>Temporary. Destroy when employee is no longer eligible for</p>	DAA-GRS-2015-0007-0020

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		<ul style="list-style-type: none"> • registrations • forms • data • other related documentation 	displaced employee programs, but longer retention is authorized if required for business use.	
080	Telework /alternate worksite records.	<p>Telework/alternative worksite program files. Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:</p> <ul style="list-style-type: none"> • correspondence • notes • policy implementation documents • form development files • planning records • program evaluation documentation/data • reports provided to senior management and oversight agencies such as OPM • other related records generated by the agency or by participating employees 	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0021
081		<p>Forms, requests, or applications to participate in telework/alternate worksite programs. Includes:</p> <ul style="list-style-type: none"> • agreements between the agency and the employee • records such as questionnaires relating to the safety of the worksite • forms, checklists and similar records regarding the installation and use of equipment, hardware, and software • the use of secure, classified information or data subject to the Privacy Act, or agencies' Personally Identifiable Information policies <p>Note: "End of employee participation" in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.</p>	Temporary. Destroy 1 year after end of employee's participation in the program, but longer retention is authorized if required for business use.	DAA-GRS-2015-0007-0022