

Request for Records Disposition Authority

Records Schedule Number DAA-0025-2017-0001
Schedule Status Approved

Agency or Establishment National Labor Relations Board
Record Group / Scheduling Group Records of the National Labor Relations Board
Records Schedule applies to Agency-wide
Schedule Subject This schedule applies to records found in NXGEN (an electronic system) only unless otherwise noted as media neutral.

Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
22	7	15	0

GAO Approval

0003, 0004, 0005, 0007, 0009

Outline of Records Schedule Items for DAA-0025-2017-0001

Sequence Number	
1	Unfair Labor Practice and Representation Official Case files
1.1	Undocketed Correspondence Disposition Authority Number: DAA-0025-2017-0001-0001
1.2	Official Case Files Disposition Authority Number: DAA-0025-2017-0001-0002
1.3	Election Records in Representation Cases
1.3.1	Electronic Submissions of Representation Case Documentation Disposition Authority Number: DAA-0025-2017-0001-0003
1.3.2	Paper Submissions of Showing of Interest Documentation Disposition Authority Number: DAA-0025-2017-0001-0004
1.3.3	Paper Submissions of Other Representation Case Documentation Disposition Authority Number: DAA-0025-2017-0001-0005
1.4	Back Pay Administration Disposition Authority Number: DAA-0025-2017-0001-0006
1.5	General Counsel-Side Court Mediation and Non-Court Settlement Files
1.5.1	Court Mediation Working Files Disposition Authority Number: DAA-0025-2017-0001-0007
1.5.2	Non-Court Settlement Working Files Disposition Authority Number: DAA-0025-2017-0001-0008
1.6	Submitted Documentation Disposition Authority Number: DAA-0025-2017-0001-0009
1.7	Misconduct by Attorneys or Party Representatives
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2	Board-Specific Documentation that Supports ULP and R Official Case Files
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2.2	Board Agenda (Meeting) Files
2.2.1	Sub-Panel Notes

	Disposition Authority Number: DAA-0025-2017-0001-0016
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3	NLRB Legal Research
3.1	Research Publications and Electronic Databases Disposition Authority Number: DAA-0025-2017-0001-0019
4	Case Tracking and Reporting Data
4.1	Electronic Case Tracking Data Disposition Authority Number: DAA-0025-2017-0001-0020
4.2	Case Records Unit (CRU) Tracking System Disposition Authority Number: DAA-0025-2017-0001-0021
4.3	Statistical Reports Disposition Authority Number: DAA-0025-2017-0001-0022
5	Working Papers, Transitory, and Duplicative Case File Documentation Disposition Authority Number: DAA-0025-2017-0001-0023
6	Contempt, Compliance, and Special Litigation Branch
6.1	Contempt, Compliance, and Special Litigation Branch Case Files Disposition Authority Number: DAA-0025-2017-0001-0024

Records Schedule Items

Sequence Number					
1	<p>Unfair Labor Practice and Representation Official Case files Documentation created and/or received during NLRB processing of 1) Charges of Unfair Labor Practices (including but not limited to "CA," "CC," "CD," "CB," "CP," "CE," and "CG" cases) and 2) Petitions for Representation Elections, whether certification or decertification (including but not limited to "RC," "RM," "AC," "UC," and "UD" cases). Related activities include but are not limited to: the receipt of initial undocketed correspondence; the receipt and docketing of a charge of unfair labor practice or petition for representation election; all investigations and/or enforcement actions; as well as trials and hearings. Official case files are assigned an alpha-numeric case file number and case file documentation is managed in electronic case management systems.</p>				
1.1	<p>Undocketed Correspondence</p> <p>Disposition Authority Number DAA-0025-2017-0001-0001</p> <p>Preliminary correspondence, memoranda and other documentation relating to a potential charge or petition. This item includes correspondence that lacks sufficient details and, upon further inquiry and research, cannot be successfully assigned to a corresponding ULP or R case. Note: When an unfair labor practice charge or representation petition is subsequently filed and docketed, any related, previously undocketed correspondence must be maintained as part of the official case file (Item #A1b).</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>A1a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority NC1-025-81-1/801/04 Citation</p> <p>Disposition Instruction</p>	Manual Citation	Manual Title	A1a	
Manual Citation	Manual Title				
A1a					

1.2

Cutoff Instruction Cut off after last action.
Retention Period Destroy 3 year(s) after Cutoff

Additional Information

GAO Approval Not Required

Official Case Files

Disposition Authority Number DAA-0025-2017-0001-0002

Documentation generated from the receipt and docketing of an Unfair Labor Practice Charge or Representation Petition through to the final withdrawal, dismissal, settlement or conclusion of the case for the Agency.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation This item applies only to Official Case Files in NXGEN beginning October 2012. Previous schedules will apply to hard copy versions.

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
A1b	

GRS or Superseded Authority Citation NC1-025-81-1/802/02/a
 NC1-025-81-1/802/02/b
 NC1-025-81-1/802/03
 NC1-025-81-1/802/07/a
 NC1-025-81-1/802/12
 NC1-025-81-1/802/15
 NC1-025-81-1/803/2/a
 NC1-025-81-1/803/2/b
 NC1-025-81-1/803/03
 NC1-025-81-1/803/04/a

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Electronic Records

Cutoff Instruction Cut off at end of Calendar Year
Transfer to the National Archives Transfer to the National Archives 15 year(s) after Cut
for Accessioning off

Additional Information

First year of records accumulation 2010
What will be the date span of the From 2010 To 2012
initial transfer of records to the
National Archives?
How frequently will your agency Every 1 Years
transfer these records to the
National Archives?

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	6 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.3

Election Records in Representation Cases
Documentation, such as showing of interest and ballots, received or generated as part of processing an R-case petition. The sole purpose of the showing of interest is to determine whether to continue processing the petition. The sole purpose of the ballots is to conduct the voting. Note: Documents that announce the election and record final results, such as Election Notices, Tally of Ballots, and Election Certifications, must be maintained as part of the official case file (Item #A1b). Additionally, election records that become exhibits, due to questions including but not limited to authenticity, forgery, or fraud, must also be maintained (in their original format) as part of the official case file (Item #A1b).

1.3.1

Electronic Submissions of Representation Case Documentation
Disposition Authority Number DAA-0025-2017-0001-0003

Final Disposition Temporary
Item Status Active
Is this item media neutral? No
Explanation of limitation Applies only to electronic records.

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? **No**

Manual Citation	Manual Title
A1c(1)	

GRS or Superseded Authority Citation **NC1-025-81-1/803/08**

Disposition Instruction

Retention Period **Destroy immediately after case is closed.**

Additional Information

GAO Approval **Required and Received**

Paper Submissions of Showing of Interest Documentation

Disposition Authority Number **DAA-0025-2017-0001-0004**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Applies only to paper records.**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
A1c(2)	

GRS or Superseded Authority Citation **NC1-025-81-1/803/08**

Disposition Instruction

Retention Period **Return to Petitioner immediately after case is closed.**

Additional Information

GAO Approval **Required and Received**

1.3.2

1.3.3

Paper Submissions of Other Representation Case Documentation

Disposition Authority Number **DAA-0025-2017-0001-0005**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Applies only to paper records.**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
A1c(3)	

GRS or Superseded Authority Citation **NC1-025-81-1/803/08**

Disposition Instruction

Retention Period **Destroy immediately after case is closed.**

Additional Information

GAO Approval **Required and Received**

1.4

Back Pay Administration

Disposition Authority Number **DAA-0025-2017-0001-0006**

Documentation generated to ensure compliance with Board Orders for reinstatement and prompt processing of payments to discriminatees. The documentation includes job search and interim earning information from claimants, payroll data and referral information from respondents, data for tracking the processing of back pay payments, and research to locate individuals who may have moved. Documentation from this financial function is also used to verify back pay wages for the Internal Revenue Service (IRS) and the Social Security Administration (SSA).

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
A1d	

GRS or Superseded Authority Citation **NC1-25-81-1/802/13**

Disposition Instruction

Retention Period **Destroy 7 year(s) after case is closed.**

Additional Information

GAO Approval **Not Required**

1.5

General Counsel-Side Court Mediation and Non-Court Settlement Files Documentation generated and gathered during court mediation and non-court settlement negotiations in court cases being handled by General Counsel-side branches. Note: Final settlement agreements must be maintained as part of the official case file (Item #A1b).

1.5.1

Court Mediation Working Files

Disposition Authority Number **DAA-0025-2017-0001-0007**

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? **No**

Manual Citation	Manual Title
A1e(1)	

Disposition Instruction

Retention Period **Destroy 2 year(s) after case is closed.**

Additional Information

1.5.2

GAO Approval Required and Received

Non-Court Settlement Working Files

Disposition Authority Number DAA-0025-2017-0001-0008

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
A1e(2)	

Disposition Instruction

Retention Period Destroy 7 year(s) after case is closed.

Additional Information

GAO Approval Not Required

1.6

Submitted Documentation

Disposition Authority Number DAA-0025-2017-0001-0009

Documentation obtained from persons or entities outside of the NLRB that do not become exhibits to an official case file and are irrelevant to the investigation of the case. These include documents that are obtained pursuant but not limited to: • Administrative subpoena • Discovery requests • Requests for the voluntary production of documents • Requests to other agencies Note: Submitted Documents that become exhibits to an official case file must be maintained as part of the official case (Item #A1b). Submitted Documents that are relevant to current or anticipated investigations, cases, or third-party requests should be retained until no longer relevant, and are subject to annual review.

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?

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

Manual Citation	Manual Title
A1f	

Disposition Instruction

Retention Period **Destroy immediately after case is closed.**

Additional Information

GAO Approval **Required and Received**

1.7

Misconduct by Attorneys or Party Representatives

Documentation generated as a result of NLRB investigations and proceedings involving allegations of misconduct in violation of the NLRB's rules by attorneys or other party representatives (other than current NLRB employees) who appear and practice before the NLRB.

1.7.1

No Action

Disposition Authority Number, **DAA-0025-2017-0001-0010**

Case files where no action is found warranted based on initial screening process or informal investigation.

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
A1g(1)	

GRS or Superseded Authority Citation **N1-025-97-1/803/10/a**

Disposition Instruction

1.7.2

Retention Period Destroy 5 year(s) after case is closed.

Additional Information

GAO Approval Not Required

All Other Cases

Disposition Authority Number DAA-0025-2017-0001-0011

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
A1g(2)	

GRS or Superseded Authority Citation N1-025-97-1/803/10/b

Disposition Instruction

Retention Period Destroy 10 year(s) after case is closed.

Additional Information

GAO Approval Not Required

2

Board-Specific Documentation that Supports ULP and R Official Case Files

2.1

Advisory Opinions and Declaratory Orders Regarding Board Jurisdiction
Petitions for advisory opinions questioning Board jurisdictional limits, Board responses, and related documentation. Advisory opinions may only be requested by other government entities or courts. Note: When an unfair labor practice charge or representation petition is subsequently filed and docketed, a copy of this documentation becomes part of the official ULP or R case file.

2.1.1

Deliberative and Background Material

Disposition Authority Number DAA-0025-2017-0001-0012

Drafts and other informal communications among Board Members.

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
A2a(1)	

GRS or Superseded Authority Citation **NC1-025-81-1/801/05**

Disposition Instruction

Retention Period **Destroy 10 year(s) after case is closed.**

Additional Information

GAO Approval **Not Required**

Advisory Opinions and Declaratory Orders Case Files

Disposition Authority Number **DAA-0025-2017-0001-0013**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **This item applies only to Official Case Files in NXGEN beginning October 2010. Previous schedules will apply to hard copy versions.**

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
A2a(2)	

GRS or Superseded Authority Citation **NC1-025-81-1/801/05**

2.1.2

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cut Off at end of Calendar Year**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after Cut Off**

Additional Information

First year of records accumulation **2010**

What will be the date span of the initial transfer of records to the National Archives? **From 2010 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	.5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

Board Agenda (Meeting) Files

2.2.1

Sub-Panel Notes

Disposition Authority Number **DAA-0025-2017-0001-0016**

Memoranda and other documentation relating to Board sub-panel decisions on possible disposition of cases appealed to the Board.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **This item applies only to Official Case Files in NXGEN beginning October 2012. Previous schedules will apply to hard copy versions.**

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
A2c(1)	

GRS or Superseded Authority Citation **NC1-025-81-1/801/06/a/1**
NC1-025-81-1/801/06/a/2

Disposition Instruction

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after Cut Off**

Additional Information

First year of records accumulation **2010**

What will be the date span of the initial transfer of records to the National Archives? **From 2010 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2.2

Panel Notes

Disposition Authority Number **DAA-0025-2017-0001-0017**

Memoranda and related documentation concerning Board panel decisions on possible disposition of cases appealed to the Board.

Final Disposition Permanent
 Item Status Active
 Is this item media neutral? No
 Explanation of limitation This item applies only to Official Case Files in NXGEN beginning October 2012. Previous schedules will apply to hard copy versions.
 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
A2c(2)	

GRS or Superseded Authority Citation NC1-025-81-1/801/06/b/1
 NC1-025-81-1/801/06/b/2

Disposition Instruction

Cutoff Instruction Cut Off at end of Calendar Year
 Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after Cut Off

Additional Information

First year of records accumulation 2010
 What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2012
 How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		

Hardcopy or Analog Special Media		
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2.2.3

Board Agenda Records

Disposition Authority Number **DAA-0025-2017-0001-0018**

Minutes, notes, transcripts of oral arguments, and other documentation relating to full Board meetings to determine the disposition of cases appealed to the Board.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **This item applies only to Official Case Files in NXGEN beginning October 2010. Previous schedules will apply to hard copy versions.**

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
A2c(3)	

GRS or Superseded Authority Citation **NC1-025-81-1/801/06/c/1
NC1-025-81-1/801/06/c/2**

Disposition Instruction

Cutoff Instruction **Cut-off at end of calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 30 year(s) after cut-off.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2010 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3 **NLRB Legal Research**
 NLRB-generated volumes, digests, indexes and similar publications and databases that facilitate research of; NLRA, significant case files, or select types of legal and/or court documentation, such as Board Decisions and Orders and Appellate and Supreme Court Briefs. For digests, the information captured may include classification number, case citation, date, and an abstract. Input documentation includes NLRB forms designed for classifying case file information and/or copies of final decisional documentation. If printed and/or bound, titles include but are not limited to the: • Classified Index of NLRB Decisions and Related Court Decisions • Court Decisions Relating to the National Labor Relations Act • Index of Court Decisions Relating to the NLRB • Board Decisions and Orders Note: The above list is not exhaustive of all publications that the NLRB has or will create under this record series item.

3.1 **Research Publications and Electronic Databases**

Disposition Authority Number DAA-0025-2017-0001-0019

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation This item applies only to Official Case Files in NXGEN beginning October 2011. Previous schedules will apply to hard copy versions.

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
A3c	

GRS or Superseded Authority Citation NC1-25-81-1/801/07a
NC1-25-81-1/801/08
NC1-25-81-1/801/09/a
NC1-25-81-1/801/09/b
N1-25-88-1/1/d

Disposition Instruction

Cutoff Instruction Cut-off at the end of calendar year.
Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut-off.

Additional Information

First year of records accumulation 2011
What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2012
How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

4 **Case Tracking and Reporting Data**
Data compiled to support the administrative and day-to-day tracking, reference, and reporting needs within specific NLRB offices and to enable those offices to monitor the timeliness of case activity ("unit workload") and to generate data on caseload statistics and productivity.

4.1 **Electronic Case Tracking Data**

Disposition Authority Number DAA-0025-2017-0001-0020

Databases and spreadsheets created to automate paper case tracking data (Item #A4a). This includes but is not limited to the Solicitor's System (SOL), Trail Information Gathered in Electronic Records (TIGER), Litigation Information on the Network (LION), Special Litigation Branch Case Tracking System (SPLIT). This also includes the electronic data subsets within the enterprise case management electronic systems.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Applies only to electronic records.

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
A4b	

Disposition Instruction

Retention Period Destroy 3 year(s) after the system is discontinued or no longer needed for administrative purposes, whichever is later.

Additional Information

GAO Approval Not Required

Case Records Unit (CRU) Tracking System

Disposition Authority Number DAA-0025-2017-0001-0021

Electronic case tracking and indexing system used exclusively by the Case Records Unit (CRU) to index paper case files, generate barcode labels, track the loan and return ("circulation") of case files to NLRB staff, and to track case files in offsite Federal Records Center (FRC) storage. This system automated the paper-based Case Control Index Cards maintained by the Case Records Unit (Item #A4a(1)).

Final Disposition Temporary

Item Status Active

4.2

Is this item media neutral? No
 Explanation of limitation Applies only to electronic records.
 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
A4c	

Disposition Instruction

Retention Period Destroy 3 year(s) after the system is discontinued or no longer needed for administrative purposes, whichever is later.

Additional Information

GAO Approval Not Required

Statistical Reports

Disposition Authority Number DAA-0025-2017-0001-0022

Reports and memoranda documenting case activity, productivity, and caseload statistical data for regular reporting requirements, which are generated from various paper and electronic case tracking data.

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
A4d	

GRS or Superseded Authority Citation NC1-025-81-1/801/01/a/1
 NC1-025-81-1/801/01/a/2

4.3

NC1-025-81-1/801/01/b
NC1-025-81-1/801/01/c
N1-025-88-1/3/c

Disposition Instruction

Cutoff Instruction Cut off annually.
Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Working Papers, Transitory, and Duplicative Case File Documentation

Disposition Authority Number DAA-0025-2017-0001-0023

Working papers, printouts of general legal research, drafts (such as drafts between staff and supervisors) for which a final exists, notes of a routine or transitory nature, and duplicate case documentation. This item also applies to copies (PDFs) of case file documentation maintained in electronic repositories, such as ArchivalWare and eRooms, which were used before and superseded by the enterprise case management systems and used solely for convenience as a way to electronically and more expeditiously search case file documentation. Note: When drafts contain substantive or procedural information (such as when inter-divisional review or concurrence is required) or when drafts must be kept according to a specific requirement in a case handling manual or standard operating procedure, the documentation must be maintained as part of the official case file (Item #A1b).

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
A6	

GRS or Superseded Authority Citation NC1-025-81-1/801/03
NC1-025-81-1/801/07/b
NC1-025-81-1/801/09/b
NC1-025-81-1/802/04
NC1-025-81-1/802/05

5

NC1-025-81-1/802/06
NC1-025-81-1/802/07/b
NC1-025-81-1/802/08
NC1-025-81-1/802/09/a
NC1-025-81-1/802/09/b
NC1-025-81-1/802/10/a
NC1-025-81-1/802/10/b
NC1-025-81-1/802/11/a
NC1-025-81-1/802/11/b
NC1-025-81-1/802/15
NC1-025-81-1/803/05/a
NC1-025-81-1/803/05/b
NC1-025-81-1/803/06/a
NC1-025-81-1/803/06/b
NC1-025-81-1/803/09

Disposition Instruction

Retention Period

Destroy when no longer needed or no later than 3 years after case is closed or 3 years after system is discontinued after the successful migration of the electronic files into the enterprise case management systems.

Additional Information

GAO Approval

Not Required

6

Contempt, Compliance, and Special Litigation Branch

The Contempt, Compliance, and Special Litigation Branch provides the Agency with compliance and contempt advice and conducts litigation involving, among other things, the Bankruptcy Code, the Federal Debt Collection Procedures Act and compliance with outstanding court judgments. The Branch also conducts litigation and provides the Agency with advice and assistance when programs, statutes or outside proceedings threaten the Agency's ability to carry out its mission; ensures Agency compliance with government regulations that affect its work, such as the Administrative Procedures Act, statutes relating to Agency rulemaking, the Sunshine Act, the Health Insurance Portability and Accountability Act, the Right to Financial Privacy Act; and provides guidance and conducts litigation involving FOIA and Privacy Act issues.

6.1

Contempt, Compliance, and Special Litigation Branch Case Files

Disposition Authority Number DAA-0025-2017-0001-0024

The documents in these files evidence the work performed by the Contempt, Compliance, and Special Litigation Branch in matters which do not arise directly out of an Agency unfair labor practice or representation case, but which implicates

the Agency's jurisdiction or authority over matters involving the National Labor Relations Act.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation This item applies only to Official Case Files in NXGEN beginning October 2011. Previous schedules will apply to hard copy versions.

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

If this item has multiple sections, indicate here records to which this section apply Electronic Records

Cutoff Instruction Cutoff at the end of calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut-off.

Additional Information

First year of records accumulation 2011

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2012

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper		
Microform		

Hardcopy or Analog Special Media		
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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
09/28/2017	Certify	Kenneth Williams	Records Officer	National Labor Relations Board - National Labor Relations Board
03/30/2018	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
04/09/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/09/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/09/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist