

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-025-09-1</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>1/5/09</i>	
1 FROM (Agency or establishment) National Labor Relation Board		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Operations			
3 MINOR SUBDIVISION Library and Administrative Services Branch			
4 NAME OF PERSON WITH WHOM TO CONFER Colleen Hart	5 TELEPHONE NUMBER 202 273-2834	DATE <i>5/19/2009</i>	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</i>
6 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 on the attached <u>2</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 31 December 2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>Steven Lee Coney</i>		TITLE Records Officer, National Labor Relation Board
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

- **Case Activity Tracking System (CATS)**
 - (see attached sheet)

- CATS is an information storage retrieval system that utilizes a relational database management system (RDBMS) to electronically record actions that initiate, change, or complete activities within the lifecycle of an Unfair Labor Practice (ULP) or Representation case. Case information is entered into the database using a graphic user interface (GUI) Business rules, enforced by the application and database, enforce the entry of accurate and complete data. This database stores current and historical information used to produce reports, including but not limited to the Agency Annual Report, to respond to public requests under the Freedom of Information Act (FOIA), and to provide statistical data for evaluating Regional Office performance.

- **Inputs.**

- Case Activity Tracking System (CATS) data entry information derived from source documents accumulated during case processing used solely to create, update, or modify the records in the system.

Approved Disposition **Temporary:** Destroy/Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later (GRS 20, Item 2)

- **Master File.**

- Appendix A contains the data dictionary of the CATS application. It describes all entities and identifies entities that shall be redacted in accordance to FOIA regulations

-

- Examples of data elements may include:

- **ULP/C Case Data:**

- Parent Table is C Case with the primary key the 15 character C Case Number (RR-CC- NNNNN-SSS where RR is the NLRB Office Number, CC is the Case Type, NNNNN is the Docket Number and SSS is the Suffix Number, ex 12-CA-23456-001). The C Case Number is then the Primary Key to all related C Case Action tables, along with a Sequence number that indicates each occurrence of a case action event within a specific case action sequence. For example, a hearing can be scheduled and rescheduled numerous times within a Hearing case action. A few tables may have other criteria included into the Primary Key.

- **Representation/R Case Data:**

- Parent Table is R Case with the primary key the 11 character R Case Number (RR- CC-NNNNN where RR is the NLRB Office Number, CC is the Case Type, NNNNN is the Docket Number, ex. 19-RC-23456). The R Case Number is then the Primary Key to all related R

	<p>Case Action tables, along with a Sequence Number that indicates each occurrence of a case action that has been applied to the case. Some R Case tables also have a Recurrence field as part of the Primary Key number that indicates each occurrence of a case action event within a specific case action sequence. For example, a hearing can be scheduled and rescheduled numerous times within a Hearing case action. A few tables may have other criteria included into the Primary Key.</p> <ul style="list-style-type: none"> • <u>Election Data:</u> • Parent Table is R_ELECTION with the primary key the 8 character Election ID (RR- NNNNN where RR is the NLRB Office Number and NNNNN is a sequential number internally maintained by the CATS application, ex., 19-00023). The Election ID is part of the Primary Key to all related Election Data, along with a Sequence number indicates each occurrence of an election related case action. • <u>Post-Election Data:</u> • The R_ELECT_PARTICIPATION table associates an R Case with an Election with the primary key the 11 character Case Number, 2 character Unit Code and 8 character Election ID. Post-Election R Case related data then has the three fields as their primary key, along with a Sequence number that indicates each occurrence of an election related case action. Some Post-Election R Case tables also have a Recurrence field as part of the Primary Key number that indicates each occurrence of an election related case action event within a specific case sequence • <u>Reference Data:</u> • The tables that hold reference data have a 5 character primary key that has a foreign key relationship to the related case action table or tables it supports. Some reference tables might have additional fields that comprise the primary key depending on data requirements. • <u>Other Data Tables:</u> • The other tables within the CATS database that support report processing or other CATS application specific functionality have primary keys appropriate for their design • Disposition: PERMANENT Upon initial approval of disposition cut-off closed case data with all records closed as of the end of the calendar year Thereafter, transfer all closed cases data records to NARA annually. 	
--	---	--

115-109

PREVIOUS EDITION NOT USABLE

STANDARD

FORM SF 115 (REV 3-91)

Prescribed by NARA 36 CFR 1228

	<p><u>3. Outputs.</u></p> <p>Annual Reports, Monthly Election Reports, Internal case-handling, management, statistical and administrative reports and queries, Regional and Headquarters correspondence, Documents and data files in response to FOIA, Congressional, White House and miscellaneous requests, Interface to Judicial Case Management System (JCMS-PCL), Interface to Electronic Case Information System (ECIS) (in developing/testing phase). Interface to Integrated Records and Information Management System (iRIMS).</p> <p>Hardcopy or electronic outputs created to meet transitory business needs.</p> <p>Disposition: Temporary Delete/Destroy in accordance with General Records Schedule GRS 20, Items 12 and 16.</p> <p>Output records related to other NLRB records(annual reports, monthly reports, FOIA's, miscellaneous requests, etc.) will be placed in the appropriate recordkeeping system, and disposed of in accordance with the appropriate records schedule.</p> <p><u>4. Documentation.</u></p> <p>Includes all information maintained outside of CATS used to support and maintain the application and its related case data records files.</p> <p>Disposition. Permanent. Cut off at the end of the calendar year. Transfer to NARA 1 year after cutoff (with transfer of Master Data File). (GRS 20, Item 11).</p>	
--	--	--