

DAA-GRS-2015-00xx

Employee Relations Records
(GRS 2.3)

This file contains three documents. The draft schedule describes the records proposed for inclusion in this new GRS. The appraisal memorandum provides additional background explanation and includes the appraiser’s justification for the retention decisions proposed in the schedule. The crosswalk matches authorities in the draft schedule with current GRS authorities.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
April 27, 2015

GENERAL RECORDS SCHEDULE 2.3: Employee Relations Records

This schedule covers records related to management of the relationship between the agency, its employees, and its unions and bargaining units. The records are those maintained by agency personnel/human resources offices that deal with employee relations issues and not copies that may be held by supervisors/management in program offices (these copies being part of supervisory files covered under GRS 2.2, General Employee Management). 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, retirement pensions and such.

Item	Records Description	Disposition Instruction	Disposition Authority	
010	<p>Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party that 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 techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.</p>	<p>ADR Program Files. Includes:</p> <ul style="list-style-type: none"> ● general correspondence ● copies of statutes, regulations ● meeting minutes or notes ● drafts and final reports including those responsive to oversight agencies ● records of financial payments and authorizations to mediators and/or facilitators ● statistical tabulations ● evaluation records of the ADR program ● other records relating to the agency's overall administration of 	<p>Temporary. Destroy when 3 years old. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-XXXX-0001</p>

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>its ADR program.</p> <p>Supersedes: GRS 1, item 27a (N1-GRS-03-2, item a)</p>			
015	<p>ADR Case Files. 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 ● related correspondence. <p>Supersedes: GRS 1, item 27b (N1-GRS-03-2, item b)</p>		<p>Temporary. Destroy 3 years after settlement is implemented or case is discontinued.</p>	DAA-GRS-2015-XXXX-0002
020	<p>Reasonable Accommodation records includes Information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order</p>	<p>Reasonable Accommodation Program Files. Administrative records that facilitate receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Includes:</p> <ul style="list-style-type: none"> ● instructions ● directives ● notices ● timetables and guidelines for 	<p>Temporary. Destroy 3 years after being superseded. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0003

Item	Records Description		Disposition Instruction	Disposition Authority
	13164.	<p>requesting, processing and approving requests and for appealing decisions for reasonable accommodation, and</p> <ul style="list-style-type: none"> • notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices. <p>Supersedes: GRS 1, item 24a (N1-GRS-04-2, item a)</p>		
021		<p>Reasonable Accommodation Employee Case and Supplemental Files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. Includes:</p>	<p>Temporary. Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later. Longer retention is authorized if required for business use.</p> <p>QUESTION: It is unclear if there are statutory, other requirements or best practices that preclude agencies from being authorized to keep these records longer than 3 years if needed.</p>	DAA-GRS-2015-XXXX-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ● request approvals and denials ● notice of procedures for informal dispute resolution or appeal processes ● forms ● correspondence ● emails ● policy guidance documents ● records of oral conversations ● medical records ● supporting notes and documentation <p>Supersedes: GRS 1, item 24b (N1-GRS-04-2, item b) and GRS 1, item 24c (N1-GRS-04-2, item c)</p>		
022	<p>Reasonable Accommodation Reports and Requests Tracking Records. Reports provided annually to oversight agencies such as the EEOC, related records, and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission (EEOC) guidance.</p>	<p>Temporary. Destroy when 3 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0005

Item	Records Description	Disposition Instruction	Disposition Authority
030	<p>Equal Opportunity (EEO) Records</p> <p>Supersedes: GRS 1, item 24d (N1-GRS-04-2, item d)</p>	<p>Temporary. Destroy when 3 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0006
031	<p>EEO Official Discrimination Complaint Case Files – Informal Process. Cases resolved within the agency which did not go to the formal process stage. Includes:</p> <ul style="list-style-type: none"> ● intake sheet ● summary report ● notes ● supporting documentation ● correspondence. <p>Supersedes:</p>	<p>Temporary. Destroy 4 years after resolution of case. Longer retention is authorized if required for business use.</p> <p>QUESTION: It is unclear if there are statutory, other requirements or best practices that preclude agencies from being authorized to keep these records longer than 4 years</p>	DAA-GRS-2015-XXXX-0007

Item	Records Description		Disposition Instruction	Disposition Authority
	GRS 1, item 25a in part (NC1-GRS-80-9, item 1)		if needed.	
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>Supersedes: GRS 1, item 25a in part (NC1-GRS-80-9, item 1)</p>		<p>Temporary. Destroy 7 years after resolution of case. Longer retention is authorized if required for business use.</p> <p>QUESTION: It is unclear if there are statutory, other requirements or best practices that preclude agencies from being authorized to keep these records longer than 7 years if needed.</p>	DAA-GRS-2015-XXXX-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>Supersedes: GRS 1, item 25c1 (N1-GRS-92-3, item 25c1), GRS 1, item 25c2 (N1-GRS-92-3, item 25c2)</p>		<p>Temporary. Destroy 2 years after final resolution of case. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0009

Item	Records Description		Disposition Instruction	Disposition Authority
034		<p>EEO Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.</p> <p>Supersedes: GRS 1, item 25d1 (NC1-64-77-10, item 26d1)</p>	<p>Temporary. Destroy when 7 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0010
035		<p>EEO Reports and Employment Statistic 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 175 (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>Supersedes: GRS 1, items 25h1 (NC1-64-76-4, item 27a), GRS 1, item 25h2 (NC1-64-76-4, item 27b), GRS 1, item 25h3 (NC1-GRS-83-2, item 1), GRS 1, item 25h4</p>	<p>Temporary. Destroy when 5 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0011

Item	Records Description		Disposition Instruction	Disposition Authority
	(NC1-GRS-83-4, 26h4), GRS 1, item 25d2 (NC1-64-77-10, item 26d2), GRS 1, item 25f (NC1-64-77-10, item 26f)			
040	<p>Anti-Harassment Records are those related to harassment that covers broader conduct than what is covered by the EEO system. It includes hostile or abusive conduct 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>Anti-Harassment Program Files. Includes:</p> <ul style="list-style-type: none"> ● program administration ● correspondence ● program implementation records ● reports and responses to oversight agencies and senior level management. <p>EXCLUSION: This item does not apply to oversight agencies such as OPM or EEOC where program records of this sort are often mission related and so should be scheduled by an agency schedule.</p>	<p>Temporary. Destroy 3 years after being superseded or replaced. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0012
045		<p>Anti-Harassment Complaint Case Files. Includes:</p> <ul style="list-style-type: none"> ● correspondence ● notes ● relevant forms ● supporting material ● background information 	<p>Temporary. Destroy when 7 years old. Longer retention is authorized if required for business use.</p> <p>QUESTION: It is unclear if there are statutory, other</p>	DAA-GRS-2015-XXXX-0013

Item	Records Description		Disposition Instruction	Disposition Authority
		<p>documentation</p> <ul style="list-style-type: none"> • other related records. <p>EXCLUSION: Anti-harassment records that result in actions such as filing a EEO complaint, 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>	<p>requirements or best practices that preclude agencies from being authorized to keep these records longer than 7 years if needed.</p>	
050	<p>Labor Management Relations Records</p>	<p>Labor Management Relations General and Case Files – Office(s) Responsible for Negotiations. Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> • correspondence • memoranda • reports • other records relating to the negotiated agreements and general relationship between management and employee unions or other groups. 	<p>Temporary. Destroy 5 years after expiration of agreement. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-XXXX-0014</p>

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>EXCLUSION: The negotiated agreements between labor unions and agencies are often mission related records and so may require an agency specific schedule.</p> <p>Supersedes: GRS 1, item 28a1 (NC1-64-77-10, item 29a1)</p>		
051	<p>Labor Management Relations General and Case Files – All Other Offices.</p> <p>Supersedes: GRS 1, item 28a2 (NC1-64-77-10, item 29a2)</p>	<p>Temporary. Destroy when superseded or obsolete. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0015
055	<p>Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.</p> <p>Supersedes: GRS 1, item 28b (NC1-64-77-10, item 29b)</p>	<p>Temporary. Destroy 5 years after final resolution of case. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0016
060	<p>Administrative Grievance, Disciplinary, and Adverse Action Files</p>	<p>Temporary. Destroy 7 years after case is closed. Longer retention is authorized if required for</p>	DAA-GRS-2015-XXXX-0017

Item	Records Description	Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> ● statements of witnesses ● reports of interviews and hearings ● examiner's findings and recommendations ● copy of the original decision ● related correspondence and exhibits ● records relating to reconsideration requests. <p>EXCLUSION: Excludes EEO complaints.</p> <p>Supersedes: GRS 1, item 30a (N1-GRS-92-1, item 30a)</p>	<p>business use.</p> <p>QUESTION 1: The prior schedule item (NC1-GRS-92-1, item 30a) set a timeframe of between 4 and 7 years which OPM instructed agencies to select a year within that range to apply to all of their Adverse Action Records and Performance-Based Action records. It is unclear if OPM would prefer to retain this retention band.</p> <p>QUESTION 2: It is unclear if there are statutory, other requirements or best practices that preclude agencies from being authorized to keep these records longer than 7 years if needed.</p>	
065	<p>Adverse Action Records and Performance-Based Actions Files. Case files and records related to effected adverse actions and performance-based</p>	<p>Temporary. Destroy 7 years after case is closed. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0018

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>actions (removal, suspension, reduction-in-grade, furlough) against employees. Includes:</p> <ul style="list-style-type: none"> ● a copy of the proposed adverse action ● with supporting documents ● statements of witnesses ● employee's reply ● hearing notices ● reports ● decisions ● reversal of action ● appeal records. <p>EXCLUSION: Excludes letters of reprimand which are filed in the OPF.</p> <p>Supersedes: GRS 1, item 30b (N1-GRS-92-1, item 30b)</p>	<p>QUESTION 1: The prior schedule item (NC1-GRS-92-1, item 30b) set a timeframe of between 4 and 7 years which OPM instructed agencies to select a year within that range to apply to all of their Adverse Action Records and Performance-Based Action records. It is unclear if OPM would prefer to retain this retention band.</p> <p>QUESTION 2: It is unclear if there are statutory, other requirements or best practices that preclude agencies from being authorized to keep these records longer than 7 years if needed.</p>	
066	<p>Performance-Based Actions Files – Reduction in Grade or Removal Records when the Action has NOT been Affected. Records related to proposed actions of reduction in grade or</p>	<p>Temporary. If performance improves by the employee during the notice period, the employee is not reduced in grade or removed, and the</p>	DAA-GRS-2015-XXXX-0019

Item	Records Description		Disposition Instruction	Disposition Authority
		<p>removal based on unacceptable performance against employees that were not affected.</p> <p>Legal Citations: 5 U.S.C. 4303, 5 CFR 724.102, § 432.107(b)</p>	<p>employee's performance continues to be acceptable for 1 year from the date of the advanced written notice provided in accordance with § 432.105(a)(4)(i), any entry or other notation of the unacceptable performance for which the action was proposed shall be removed from any agency record relating to the employee.</p> <p>QUESTION: This statutory requirement is new to the GRS. It is unclear if this item is appropriate for the GRS, or if the retention needs to be exactly as it appears in the statute.</p>	
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 program administration, correspondence, program implementation of program records, and reports and responses to oversight agencies and senior level management.</p>	<p>Temporary. Destroy 3 years after being superseded. Longer disposition is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0020

Item	Records Description		Disposition Instruction	Disposition Authority
071		<p>Displaced Employee Program Application Records. Includes applications, registrations, forms, data, background and other related documentation.</p> <p>Supersedes: GRS 1, item 33r (NC1-GRS-85-2, item 34n)</p>	<p>Temporary. Destroy 1 year after employee is no longer eligible for displaced employee programs.</p>	DAA-GRS-2015-XXXX-0021
075		<p>Displaced Employee Program Reporting and Tracking Files. Includes:</p> <ul style="list-style-type: none"> ● information collected about displaced employees ● control files ● documentation and reports sent to report to oversight entities such as OPM, and to senior level management. <p>Supersedes: GRS 1, item 33s (NC1-GRS-85-2, item 34o)</p>	<p>Temporary. Destroy when 2 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0022
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</p>	<p>Temporary. Destroy when 3 years old. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0023

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>staff. Includes:</p> <ul style="list-style-type: none"> ● correspondence ● notes ● policy implementation documents ● form development files ● planning records ● program evaluation documentation ● other records generated by the agency or by participating employees. 			
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 ● the installation and use of equipment, hardware, and software ● the use of secure, classified information or data subject to the Privacy Act. <p>'End of employee participation' refers to if employee leaves telework entirely, is rejected or</p>		<p>Temporary. Destroy 1 year after end of employee's participation in the program. Longer retention is authorized if required for business use.</p>	DAA-GRS-2015-XXXX-0024

Item	Records Description		Disposition Instruction	Disposition Authority
	<p>barred from telework, has significant changes in telework such that a new agreement is signed, or employee leaves federal employment.</p> <p>Supersedes: GRS 1, item 42a (N1-GRS-97-1, item 1a), GRS 1, item 42b (N1-GRS-97-1, item 1b), GRS 1, item 42c (N1-GRS-97-1, item 1c)</p>			
082	<p>Telework/Alternative Worksite Reporting Records. Includes reports provided to oversight agencies such as Office of Personnel Management (OPM).</p>		<p>Temporary. Destroy 3 years after providing to oversight agency. Longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2015-XXXX-0025</p>



Date: April 27, 2015
Appraiser: Addie M. Compton
Agency: General Records Schedule (GRS)
Subject: DAA-GRS-2015-XXXX

INTRODUCTION

Schedule Overview

Employee Relations Records (GRS 2.3)

Additional Background Information

This schedule provides disposal authorization for a wide category of records that deal with federal government interacting with employees. This is a grab bag schedule with broad themes of managing conflicts, addressing discrimination and harassment, telework, displaced employee programs, and accommodating disabilities.

The schedule is mostly revisions of prior items. However, the Anti-Harassment Records are new to the General Records Schedule. In addition, some categories of records have a new 'Program Records' item. These items are designed to capture the every day administrative records of running, maintaining, and implementing these various programs. The Displaced Employee Program records are not new items but they are now a distinct category.

Note 1: GRS 1, items 25b, Copies of Complaint Case File is being considered for withdrawal. In an era of many electronic copies, it is unclear if this item is needed anymore.

Note 2: GRS 1, items 25e, Employee Housing Requests, is being considered for withdrawal. Agency subject matter contacts had not used this item and were uncertain of its purpose. It is unclear if this item is needed anymore.

NARA developed this schedule with assistance from the following agencies: NASA, OPM, and EEOC. However, some subject matter experts at OPM and EEOC have not yet responded with feedback.

Overall Recommendation

I recommend approval of the attached schedule.

Item 010: Alternative Dispute Resolution (ADR) Program Files

These records comprise the administrative, day to day records of running an ADR program in a federal agency. ADR programs are found across the federal government, performing the function of providing other ways to handle internal conflict besides litigation

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously approved as temporary. GRS 1, item 27a.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged from the prior item; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 015: ADR Case Files

Case files are created when an employee agrees to a method of alternative dispute resolution.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously approved as temporary. GRS 1, item 27b.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 020: Reasonable Accommodation Program Files

These records comprise the administrative, day to day records of running a Reasonable Accommodation program in a federal agency. Reasonable accommodation programs are found across the federal government, performing the function of accommodating work situations to people experiencing disabilities.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously approved as temporary. GRS 1, item 24a.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 021: Reasonable Accommodation Employee Case and Supplemental Files

This item combines Reasonable Accommodation Case files and the Supplemental Files (GRS 1, items 24b and 24c). Agencies are not necessarily separating out the supplemental materials from the case file, especially if the records are mostly held in an electronic format, so there is no need for a separate item for supplemental files.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 24b and item 24c.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged as the two merged prior items had the same retention timeframe. Agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 022: Reasonable Accommodation Reports and Requests Tracking Records

Reporting to oversight agencies and senior management has become an important aspect of administrative programs like Reasonable Accommodation. This item incorporates the reports as well as the tracking records that are often the raw data of the reports.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 24d.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 030: Equal Opportunity (EEO) Program Files

These records comprise the administrative, day to day records of running an EEO program in a federal agency. EEO programs are found across the federal government, performing the function of reporting and addressing discrimination claims.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25g.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 031: EEO Official Discrimination Complaint Case Files - Informal Process

The prior GRS descriptions were created before the EEOC and federal EEO offices developed the informal and formal EEO discrimination complaint processes. This is now a common, shared practice across the federal government and the GRS has been revised to reflect that. Informal complaints are addressed first by counseling by agency EEO staff or alternative

dispute resolution options. Informal complaints may be resolved and never reach the formal stage. If unresolved after counseling or ADR options, complaints may proceed into the formal process.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25a.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 032: EEO Official Discrimination Complaint Case Files - Formal Process

If the informal complaint is not resolved, claimants can file a formal complaint. Formal complaints can be determined within the federal agency, or can be appealed to the EEOC or to federal courts.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25a.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The prior item instructed agencies to retain for four years – the revised item expands retention to seven years. Agencies are authorized to retain records if necessary for business use. The preservation of these records for this period of time should generally provide for the adequate defense of the government in litigation or allow proper time by a plaintiff to pursue further legal action.

Media Neutrality: Approved.

Item 033: EEO Case Files that did not result in an official informal or formal complaint

Some EEO complaints are received but do not develop into either a formal or informal EEO discrimination complaint.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25c1 through item 25c2.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 034: EEO Compliance Review Files

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25d1.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 035: EEO Reports and Employment Statistics Files

Reporting to oversight agencies and senior management has become an important aspect of administrative programs like EEO programs. This item incorporates the reports as well as statistical records that are often the raw data of the reports.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 25h1 through item 25h4, GRS 1, item 25d2, GRS 1, item 25f.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The revised item merges several former items that set retention at five years. GRS 1, item 25d2, was the exception at three years. As the revised item aggregates a variety of plans, reports, tracking, and statistical records, designating five year retention follows the records management best practice of applying the longest retention to a set of aggregated records.

Media Neutrality: Approved.

Item 040: Anti-Harassment Program Files

Anti-harassment records are those related to harassment that covers broader conduct than what is covered by the EEO system. It includes hostile or abusive conduct 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. These records deal with the implementation, maintenance and organization of an anti-harassment program. This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Although new to the General Records Schedule, the records do not rise to the level of permanent as they are administrative in nature. Similar program files have been scheduled for three year retention. (See items 010, 020, and 030.)

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

Item 045: Anti-Harassment Case Files

Records created and gathered once an employee has reported harassment to appropriate agency contacts. This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Although new to the General Records Schedule, the case files are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Anti-harassment case files serve a similar function to EEO Case Files (items 031 and 032) which are also scheduled as temporary.

Media Neutrality: Approved.

Item 050: Labor Management Relations General and Case Files – Office Responsible for Negotiations

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 28a1.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 051: Labor Management Relations General and Case Files – All Other Offices

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 28a2.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 055: Labor Arbitration General and Case Files

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 28b.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 060: Administrative Grievance Files

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 30a.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. In the 1992 version of this item, OPM wanted agencies to set a disposition timeframe of between four to seven years for all of an agency's closed administrative grievance, adverse action and performance-based action files. Agencies were to select how long and then incorporate that decision into their records management policies. It is unknown if OPM would prefer to continue with this framework or if a longer (or shorter) disposition would be acceptable. Feedback is being solicited from OPM on this and other related matters.

Media Neutrality: Approved.

Item 065: Adverse Action Files and Performance-Based Actions Files

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 30b.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. A longer retention of seven years was selected for this item and item 060 to provide ease of use when applying this item. It is unknown if OPM, which indicated in the 1992 schedule that agencies are to pick from between four to seven years and apply that disposition to all of their closed administrative grievance, adverse action and performance-based action files, would want to continue with that disposition instructions or allow a longer (or shorter) disposition timeframe. Feedback from OPM on this and other matters is being solicited.

Media Neutrality: Approved.

Item 066: Performance-Based Actions Files – Reduction in Grade or Removal Records when the Action has NOT been affected.

Records about an employee that has maintained acceptable performance for 1 year from the date of receiving an advance notice in writing of a possible Reduction in Grade or Removal action are required by statute to be removed from any records containing information about that

employee. The statute is 5 U.S.C. 4303(d) and the CFR is 5 CFR 724.102, § 432.107(b). This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. It is unclear if this statutory requirement applies to all records about a reduction grade or removal that did not happen or just 'entries or notations'. It is also unclear if the disposition instructions need to be the same as in the statute or if there is any room for interpretation. Feedback from OPM on this and other matters is being solicited.

Media Neutrality: Approved.

Item 070: Displaced Employee Program (DEP) Files

OPM requires Executive Branch agencies to provide career transition assistance to employees affected by downsizing or restructuring. These records comprise the administrative records of organizing, implementing and updating agency Displaced Employee Programs. This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Similar program files have been scheduled for three year retention. (See items 010, 020, and 030.)

Media Neutrality: Approved.

Item 071: Displaced Employee Program Application Records

OPM requires Executive Branch agencies to provide career transition assistance to employees affected by downsizing or restructuring. These records comprise the application and registration files of employees accessing this program.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 33r.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Similar program files have been appraised as temporary with three year retention. (See items 010, 020, and 030.)

Media Neutrality: Approved.

Item 075: Displaced Employee Program Reports and Tracking Files

Reporting to oversight agencies and senior management has become an important aspect of administrative programs like DEP programs. This item incorporates reports as well as tracking records that are often the raw data of the reports.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 33s.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention timeframe is unchanged; however, agencies are authorized to keep these records longer if necessary.

Media Neutrality: Approved.

Item 080: Telework/Alternative Worksite Program Files

The Telework Enhancement Act of 2010 defined agency responsibilities for managing telework as well as defined expectations and responsibilities of employees, including designating a Telework Managing Officer (TMO). This item includes records that demonstrate implementation of a telework program. This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Similar program files have been appraised as temporary with three year retention. (See items 010, 020, and 030.)

Media Neutrality: Approved.

Item 081: Forms, Requests, or Applications to Participate in Telework or Alternate Worksite Programs

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Previously scheduled as temporary. GRS 1, item 42a, GRS 1, item 42b, GRS 1, item 42c.
- * Little to no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. OPM subject matter experts wanted the disposition instructions to be clearer about the definition of 'end of employee participation in the program'. A note was added indicating that the disposition 'clock' starts ticking once) a federal employee stops telework entirely, or 2) leaves federal employment, or 3) has significant enough changes that a new telework agreement is necessary between the agency and the employee. However, some agencies follow OPM's suggestions in OPM's Guide to Telework in the Federal Government (http://www.telework.gov/guidance_and_legislation/telework_guide/telework_guide.pdf, page 17) that agencies have employees submit a telework agreement annually, or even more

frequently. Agencies in line with the annual telework agreement suggestion may choose to destroy these application records when an employee leaves telework or leaves federal employment. (This item does not apply to the development and updating of telework forms – those records are schedule by Item 080, Telework/Alternate Worksite Program Files.) Other agencies do not follow these unmandated guidelines and require employees to sign telework agreements much less frequently. In those cases, agencies are again free to select their cut-off point of leaving telework, leaving federal employment, or experiencing significant enough change to warrant signing a new telework agreement with the agency. Whatever the agency decides is appropriate, that decision needs to be noted in records management directives, policy and appropriate manuals.

Media Neutrality: Approved.

Item 082: Telework/Alternate Worksite Report Records

This is a new item.

Proposed Disposition: Temporary.

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Little to no research value. Any potentially significant reports or supporting documentation is captured by the oversight agencies such as OPM and GSA.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Similar report records have been scheduled as temporary.

Media Neutrality: Approved.

ADDIE MAY COMPTON
Appraiser

New GRS 2.3				Old GRS			
GRS No.	Item No.	Item Title	Retention	GRS No.	Item No.	Retention	Disposition Authority
2.3	010	ADR Program Files	3 years	1	27a	3 years	N1-GRS-03-2, item a
2.3	015	ADR Case Files	3 years	1	27b	3 years	N1-GRS-03-2, item b
2.3	020	Reasonable Accommodation Program Files	3 years	1	24a	3 years	N1-GRS-04-2, item a
2.3	021	Reasonable Accommodation Employee Case and Supplemental Files	3 years	1	24b	3 years	N1-GRS-04-2, item b
				1	24c	3 years	N1-GRS-04-2, item c
2.3	022	Reasonable Accommodation Reports and Requests Tracking Records	2 years	1	24d	3 years	N1-GRS-04-2, item d
2.3	030	EEO Program Files	3 years	1	25g	3 years	NC1-64-77-10, item 26g
2.3	031	EEO Official Discrimination Complaint Case Files - Informal Process	4 years	1	25a	4 years	NC1-GRS-80-9, item 1
2.3	032	EEO Official Discrimination Complaint Case Files - Formal Process	7 years	1	25a	4 years	NC1-GRS-80-9, item 1
2.3	033	EEO Case Files that did not result in an official informal or informal complaint	2 years	1	25c1	2 years	N1-GRS-92-3, item 25c1
				1	25c2	2 years	N1-GRS-92-3, item 25c2
2.3	034	EEO Compliance Review Files	7 years	1	25d1	7 years	NC1-64-77-10, item 26d1
2.3	035	EEO Reports and Employment Statistical Files	5 years	1	25h1	5 years	NC1-64-76-4, item 27a

				1	25h2	5 years	NC1-64-76-4, item 27b
				1	25h3	5 years	NC1-GRS-83-2, item 1
				1	25h4	5 years	NC1-GRS-83-4, item 26h4
				1	25d2	3 years	NC1-64-77-10, item 26d2
				1	25f	5 years	NC1-64-77-10, item 26f
2.3	040	Anti-Harassment Program Files	3 years	New Item			
2.3	045	Anti-Harassment Case Files	7 years	New Item			
2.3	050	Labor Management Relations General and Case Files - Office(s) Responsible for Negotiations	5 years	1	28a1	5 years	NC1-64-77-10, item 29a1
2.3	051	Labor Management Relations General and Case Files - All Other Offices	When superseded or obsolete	1	28a2	When superseded or obsolete.	NC1-64-77-10, item 29a2
2.3	055	Labor Arbitration General and Case Files	5 years	1	28b	5 years	NC1-64-77-10, item 29b
2.3	060	Administrative Grievance Files	7 years	1	30a	Destroy no sooner than 4 years but no later than 7 years after case is closed	N1-GRS-92-1, item 30a
2.3	065	Adverse Actions Records and Performance Based Actions Files	7 years	1	30b	Destroy no sooner than 4 years but no later than 7 years after case is closed	N1-GRS-92-1, item 30b

2.3	066	Performance-Based Actions Files - Reduction in Grade or Removal Records when the Action has NOT been Affected	If performance improves by the employee during the notice period, the employee is not reduced in grade or removed, and the employee's performance continues to be acceptable for 1 year from the date of the advanced written notice provided in accordance with § 432.105(a)(4)(i), any entry or other notation of the unacceptable performance for which the action was proposed shall be removed from any agency record relating to the employee.	New Item			
2.3	070	Displaced Employee Program Files	3 years	New Item			
2.3	071	Displaced Employee Program Application Records	1 year	1	33r	Destroy upon expiration of employee's eligibility.	NC1-GRS-85-2, item 34n
2.3	075	Displaced Employee Program Reporting and Tracking Records	2 years	1	33s	2 years	NC1-GRS-85-2, item 34o
2.3	080	Telework/Alternative Worksite Program Files	2 years	New Item			
2.3	081	Forms, Requests, or Applications to Participate in Telework/Alternate Worksite Programs	1 year	1	42a	1 year	N1-GRS-97-1, item 1a
				1	42b	1 year	N1-GRS-97-1, item 1b
2.3	082	Telework/Alternative Worksite Reporting Records	4 years	1	42c	1 year	N1-GRS-97-1, item 1c