

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.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Employee relations programs' administrative records. Records documenting routine activities related to programs such as reasonable or religious accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:</p> <ul style="list-style-type: none"> ● program-related correspondence ● copies of statutes, regulations, directives, and instructions ● timetables and guidelines for processing case files and appealing decisions ● planning records ● meeting minutes ● program evaluations and reports to senior management ● statistical records tracking program participation and participants ● records tracking programs' compliance with relevant Executive Orders and other requirements ● records arranging for outside mediator and facilitator involvement in case settlements <p>Exclusions:</p> <ol style="list-style-type: none"> 1. Records specific to individual cases (covered by items 020 to 111 in this schedule). 2. Reports to external oversight agencies (covered by GRS 5.7, item 050). 3. Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices). 	<p>Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2022-0001-0001</p>

Item	Records Description	Disposition Instruction	Disposition Authority
020	<p>Reasonable or religious accommodation case files. Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations coordinators, supervisors, administrators, or Human Resource specialists containing records of requests for religious accommodation, 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 ● forms, correspondence, records of oral conversations ● policy guidance documents ● medical records ● supporting notes and documentation\ 	<p>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.</p>	DAA-GRS-2022-0001-0002
030	<p>Dislocated worker program case files. Includes applications, registrations, supporting documentation.</p>	<p>Temporary. Destroy 1 year after employee eligibility for program expires, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0003
040	<p>Telework/alternate worksite agreements Telework and alternate worksite agreements between the agency and employee and other related documentation, such as questionnaires.</p>	<p>Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use.</p>	DAA-GRS-2023-0003-0001

Item	Records Description	Disposition Instruction	Disposition Authority
050	<p>Harassment complaint case files. Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Includes:</p> <ul style="list-style-type: none">• complaint, correspondence, notes, forms, and supporting material• records of investigation, statements of witnesses• determination as to whether harassment occurred• documentation of preventive or corrective measures <p>Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.</p>	<p>Temporary. Destroy 7 years after close of case, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0005</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
060	<p>Administrative grievance, disciplinary, performance-based, and adverse action case files.</p> <ul style="list-style-type: none"> • Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes: <ul style="list-style-type: none"> ○ statement of grievance, supporting documentation, and evidence ○ statements of witnesses, records of interviews and hearings ○ examiner’s findings, recommendations, decisions • Records of disciplinary and performance-based actions against employees. Includes: <ul style="list-style-type: none"> ○ performance appraisal, performance improvement plan, and supporting documents ○ recommended action, employee’s reply ○ records of hearings and decisions ○ records of appeals • Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes: <ul style="list-style-type: none"> ○ proposed adverse action, employee's reply ○ statements of witnesses ○ records of hearings and decisions ○ letters of reprimand ○ records of appeals <p>Note 1: Letter of reprimand filed in an employee’s Official Personnel File is scheduled by GRS 2.2, item 041.</p> <p>Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</p>	<p>Temporary. Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.</p>	<p>DAA-GRS-2018-0002-0006</p>	
070	<p>Alternative Dispute Resolution (ADR) case files.</p> <p>Includes:</p> <ul style="list-style-type: none"> • agreements to use ADR • records of intake and process • records of settlement or discontinuance of case 	<p>Informal process.</p> <p>Records not associated with another employee dispute, complaint or grievance process.</p>	<p>Temporary. Destroy 3 years after case is closed, but longer disposition is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0007</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
071	<ul style="list-style-type: none"> parties' written evaluations of the process 	<p>Formal process. Records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances.</p>	<p>Temporary. Destroy 7 years after case is closed, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0008
080	<p>Merit Systems Protection Board (MSPB) case files. Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. May include:</p> <ul style="list-style-type: none"> petitions for appeal, agencies' responses to petitions hearing notices, transcripts, testimony, briefs, and exhibits MSPB initial decisions petitions for review, responses of opposing party to petition orders granting or denying intervention MSPB final opinions, orders, and decisions <p>Exclusion: Corresponding case files at MSPB (must be scheduled by MSPB).</p>	<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0009	
090	<p>Labor arbitration (negotiated grievance procedure) case records. Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.</p>	<p>Temporary. Destroy 3 years after close of case, but longer retention is authorized if required for business use.</p>	DAA-GRS-2018-0002-0010	

Item	Records Description	Disposition Instruction	Disposition Authority
100	<p>Federal Labor Relations Authority (FLRA) case files. Records of cases filed under provisions of the Federal Labor Relations Act concerning representation, unfair labor practices, negotiability, and review of arbitration awards. May include:</p> <ul style="list-style-type: none"> • records of representation proceedings <ul style="list-style-type: none"> ○ petitions, notice of petitions, cross-petitions, motions ○ records documenting adequate showing of interest ○ challenges to the status of a labor organization ○ records of meetings, hearings, and prehearing conferences ○ statements of witnesses ○ dismissals of petitions ○ decisions, orders • records of unfair labor practices proceedings <ul style="list-style-type: none"> ○ charges/allegations of unfair labor practices, amendments, and supporting evidence ○ records of charges/allegations investigation, including subpoenas ○ complaints by FLRA Regional Director ○ motions, responses, stipulations ○ records of hearings ○ records of decisions and settlements • records of negotiability proceedings <ul style="list-style-type: none"> ○ petitions for review ○ records of post-petition conferences ○ agencies' statements of position, unions' responses, and agencies' counter-responses ○ records of post-petition conferences ○ decisions, orders • records of review of arbitration awards <ul style="list-style-type: none"> ○ exceptions to arbitrators' award rendered pursuant to arbitrations ○ oppositions to exceptions ○ determination of grounds for review ○ decisions, orders <p>Exclusion: Corresponding case files at FLRA (must be scheduled by FLRA).</p>	<p>Temporary. Destroy 3 years after final resolution of case, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0011</p>

Item	Records Description		Disposition Instruction	Disposition Authority
110	<p>EEO discrimination complaint case files. Includes:</p> <ul style="list-style-type: none"> • intake sheet • summary report • notes 	<p>Informal process. Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.</p>	<p>Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0012</p>
111	<ul style="list-style-type: none"> • supporting documentation • correspondence 	<p>Formal process. Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.</p> <p>Exclusion: Corresponding case files at EEOC (must be scheduled by EEOC).</p>	<p>Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0013</p>
120	<p>Records documenting contractor compliance with EEO regulations. 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>	<p>DAA-GRS-2018-0002-0014</p>
130	<p>Labor management relations agreement negotiation records. Records relating to negotiations with labor unions. Includes:</p> <ul style="list-style-type: none"> • negotiation agreements • requests to bargain • bargaining session records/notes • correspondence, memoranda, forms • reports • other records relating to the negotiated agreements and general relationship between management, employee unions and other groups 		<p>Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use.</p>	<p>DAA-GRS-2018-0002-0015</p>