

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	NI-85-97-3
1. FROM (Agency or establishment) Department of Justice		DATE RECEIVED	4-16-97
2. MAJOR SUBDIVISION Immigration and Naturalization Service		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Nancy J. Mann	5. TELEPHONE (202) 616-2573	DATE 9-18-97	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 3 page(s) are not now needed for the business of 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,

is not required;  is attached; or  has been requested.

DATE 4/11/97	SIGNATURE OF AGENCY REPRESENTATIVE <i>Veola Bouse</i>	TITLE Assistant Director Records Policy & Analysis Branch
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p><b>EMPLOYER SANCTIONS PROGRAM</b></p> <p>This schedule covers the official files relating to each enforcement inspection or investigation pursued under the Immigration and Nationality Act, Section 274A(e), involving a specific employer (individual or entity).</p> <p><b>Employer Sanctions Case Files</b></p> <p>These records consist of numbered files containing all pertinent documentation on each Enforcement case. This includes records relating to employer education, inspections/investigations, litigation/settlement, and fines collection. Active case files are arranged numerically by case number. The case files are numbered in one numeric sequence regardless of predication. The numbering scheme is comprised of the office location, fiscal year, Program ID, and unique case number assigned in sequence.</p> <p><b>Retention/Disposition:</b></p> <p>a. Criminal Cases:</p> <p>Cases that result in fines or criminal prosecution. Cutoff when case is closed. Transfer to FRC 1 year after cutoff. Destroy 25 years after cutoff.</p>		

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REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>b. Administrative Cases:</p> <ul style="list-style-type: none"> <li>(1) Cases that result in Notice of Intent to Fine. Cutoff when case is closed. Transfer to FRC 1 year after cutoff. Destroy 25 years after cutoff.</li> <li>(2) Cases involving Warning Notices. Cutoff when case is closed. Transfer to FRC 1 year after cutoff. Destroy 7 years after cutoff.</li> <li>(3) Cases with Finding of Compliance or Adjusted Compliance Cutoff when case is closed. Transfer to FRC 1 year after cutoff. Destroy 3 years after cutoff.</li> <li>(4) Cases closed with no action. Cutoff when case is closed. Transfer to FRC 1 year after cutoff. Destroy 3 years after cutoff.</li> </ul> <p>2. <u>Employer Contact Cards - G-599</u></p> <p>These forms document INS educational contacts with individual employers, and provide input to the CENF 45.1, Employer Case Activity Report. Forms are filed alphabetically by employer/company name and fiscal year.</p> <p><b>Retention/Disposition:</b> Destroy when 3 years old, or when no longer needed, whichever is longer. This applies to both hard copy and electronic versions of the records.</p> <p>3. <u>DOL Inspection Reports - DOL/ESA-91</u></p> <p>These forms document findings by the Department of Labor (DOL) incident to its Form I-9 inspection function. Copies of ESA-91 are forwarded to the INS District Office. Upon receipt, each ESA-91 is reviewed and rated, and those which justify further action are investigated. Reports are filed chronologically by fiscal year.</p> <p><b>Retention/Disposition:</b></p> <ul style="list-style-type: none"> <li>a Reports requiring no further investigation are to be cutoff annually and destroyed 1 year after cutoff.</li> <li>b. Reports requiring further investigation, that do not develop into an Employer Sanctions Case, are cutoff annually and destroyed 1 year after cutoff.</li> <li>c Reports that develop into an Employer Sanction Case are to be maintained in the case file</li> </ul>		

7. ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
4.	<p><b><u>Group Contact Lists</u></b></p> <p>These lists document INS educational contacts with groups of employers or other interested parties. Contacts can be initiated through such activities as seminars and presentations. These lists are filed chronologically by fiscal year.</p> <p><b>Retention/Disposition:</b> Destroy when 3 years old, or when no longer needed, whichever is longer.</p>		
5.	<p><b><u>Case Number Control Log</u></b></p> <p>These logs are maintained in hard copy or electronic form and are used by District/Sector Offices to assign a unique number for each case. These original documents are filed chronologically by fiscal year.</p> <p><b>Retention/Disposition:</b> Destroy when no longer needed.</p>		
6.	<p><b><u>Investigations Control Card File (Form G-600)</u></b></p> <p>A 3" x 5" 6-part carbon form used to track the case status and file location of Investigation Case Files. The G-600 is part of the Investigations Case Management Tracking System and is primarily used by the District Investigative Units. Active cases cards are filed by agent name and thereunder numerically. Inactive cases cards are filed numerically.</p> <p><b>Retention/Disposition:</b> Destroy all copies 3 years after case completion.</p> <p><b>Restriction:</b> Privacy Act, 5 U.S.C. 552a; Freedom of Information Act, 5 U.S.C. 552</p>		