

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <b>NC 1-174-76-8</b>	
DATE RECEIVED <b>JUN 21 1976</b>	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
7-20-76 <i>Date</i>	<i>James B. Rhoads</i> <i>Archivist of the United States</i>

TO **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)  
**U.S. Department of Labor**

2. MAJOR SUBDIVISION  
**Office of the Assistant Secretary for Administration**

3. MINOR SUBDIVISION  
**Directorate of Audit and Investigations**

4. NAME OF PERSON WITH WHOM TO CONFER  
**Constance K. Duncan** *CKD*

5. TEL EXT  
**523-6349**

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <b>6-17-76</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert G. [Signature]</i>	E. TITLE ---
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	<p><u>Audit Workpaper Files</u></p> <p>The DA&amp;I workpapers are a record of the purpose and scope of the audits as well as the work performed during the audits; they contain the back-up material in support of the audit conclusions, opinions and recommendations; and they contain the basic material from which the audit reports are prepared.</p> <p>Transfer to FARC 3 years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. <u>DESTROY</u> 6 years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later.</p>	<i>AK</i>	
2	<p><u>Audit Report Files</u></p> <p>This file contains the final audit reports of program management, contract and grant audits done by or for the DA&amp;I.</p> <p>a. Reports by the DA&amp;I Washington Office:</p> <p><i>Copy to Agency 7-27-76 [Signature]</i></p>		<b>5 items</b>

Request for Records Disposition Authority - Continuation		JOB NO NCL-174-76-3	PAGE OF 2 2
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
<i>Amended 22 Jun 76</i>	<p>(1) Audit reports designated by the DA &amp; I Washington Office as being unusual, precedent setting, or significant to the DOL audit function.</p> <p><u>PERMANENT.</u> Transfer to FARC 3 years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. Offer to NARS 10 years after report was issued or after all exceptions are resolved, whichever is later.</p> <p>(2) Audit reports not selected for retention under Item 2a(1).</p> <p>Transfer to FARC 3 years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. <u>DESTROY</u> 6 years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later.</p> <p>b. Reports by DA&amp;I Regional Offices, public accounting firms, State and local agencies:</p> <p>Transfer to FARC 3 years after end of fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. <u>DESTROY</u> 6 years after end of fiscal year in which the report was issued or after all exceptions are resolved, whichever is later.</p>		
	<p>3. <u>Investigative Files.</u></p> <p>These files consist of records of investigations of DOL employees, contractors and grantees in reference to fraud, collusion, criminal violations, violations of standards of conduct and/or theft of government property. These files also include investigations of threats on the life of the Secretary of Labor.</p> <p>after</p> <p>Transfer to FARC 5 years/the end of the fiscal year in which last action occurred. <u>DESTROY</u> 15 years after the end of the fiscal year in which last action occurred.</p>		

RG:174

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED JUL 1 1975	JOB NO. NC-174-76-3
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.	
(Date)	Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

U. S. Department of Labor

2. MAJOR SUBDIVISION Office of the Assistant Secretary for Administration

3. MINOR SUBDIVISION Directorate of Audit and Investigations

4. NAME OF PERSON WITH WHOM TO CONFER

Constance K. Duncan

5. TEL. EXT.

523-6349

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

JUN 26 1975

(SIGNED) ALTA G. BELL

DEPARTMENTAL RECORDS OFFICER

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>The Directorate of Audit and Investigations (DA&amp;I) consists of five Offices in the Washington Headquarters and ten Offices of Regional Audit in each of the regional cities.</p> <p>The responsibilities of the Directorate of Audit and Investigations are:</p> <p>a) To coordinate responses to GAO audit reports pertaining to DOL programs;</p> <p>b) To develop and maintain a uniform approach to the determination of costs of federally-aided programs and to approve and issue cost allocation plans for indirect costs involved in DOL contracts and grants. Also, to conduct ADP centralized reviews and pre-award surveys;</p> <p>c) To promote excellence of the audit program through the development and adoption of new and improved audit techniques, methods and approaches. To perform special studies designed to increase knowledge, understanding and expertise within DA&amp;I;</p>		

Revised  
Index  
26 Jun 76  
4 items

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p>d) To administer a Nationwide audit program designed to effectively assess Department of Labor organizations, programs, activities and functions;</p> <p>e) To coordinate the development of all program policy relating to the functional responsibilities assigned to DA&amp;I, and to direct and coordinate the development of comprehensive annual and multi-year program plans for the functional responsibilities assigned to DA&amp;I. To schedule and monitor status of DA&amp;I program activities which are reflected in planning documents;</p> <p>f) To plan and direct an investigation program covering program and employee integrity which includes the investigation of fraud, collusion, criminal violations, violations of standards of conduct and theft of government property.</p> <p><u>Audit Workpaper Files</u></p> <p>The DA&amp;I Workpapers are a record of the purpose and scope of the audits as well as the work performed during the audits; they contain the back-up material in support of the audit conclusions, opinions and recommendations; and they contain the basic material from which the audit reports are prepared.</p> <p>Transfer to the Federal Records Centers three years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. Hold in Federal Records Centers for three years and then destroy.</p>		

*Revised*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
2.	<p><u>Audit Report Files</u></p> <p>a. <u>By DA&amp;I and Other Federal Agencies</u></p> <p>This file contains audit reports of program management, contract, and grant audits done by DA&amp;I staff and other Federal Agencies for DA&amp;I.</p> <p>Transfer to the Federal Records Centers three years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. Hold in Federal Records Centers for three years and then destroy.</p> <p>b. <u>By Public Accounting Firms and State and Local Agencies</u></p> <p>This file contains audit reports of contract and grant audits done by public accounting firms and State and Local Agencies for DA&amp;I.</p> <p>Transfer to the Federal Records Centers three years after the end of the fiscal year in which the report was issued or after all exceptions are resolved, whichever is later. Hold in Federal Records Centers for three years and then destroy.</p>		
3.	<p><u>Investigative Files</u></p> <p>This file consists of records of investigations of Department of Labor employees, contractors and grantees in reference to fraud, collusion, criminal violations, violations of standards of conduct and/or theft of government property. This file also includes investigations of threats on the life of the Secretary of Labor.</p>	<i>Revised</i>	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Investigative Files (continued)</u></p> <p>Transfer to the Federal Records Center five years after the end of the fiscal year in which last action occurred. Hold in Federal Records Center for ten years and then destroy.</p> <p><i>Revised</i></p>		

April 22, 1976

NCl 174-76-3

Director, Records Disposition Division

The Directorate of Audit and Investigations of the Department of Labor has submitted a SF 115 requesting disposal authority for four items. These items have been submitted by the Directorate for National Archives and Records Service appraisal.

Evaluation:

Item 1, Audit Workpaper files

These files consist of accounting schedules, regulations, laws, guidelines, previous reports, working papers and back-up material relating to the audits made by DA&I. They serve short-term administrative purposes and, therefore, have no lasting historical value.

20 cu. ft. per year.

Item 2a, Audit Report files Washington Office

These files contain the final audit reports of contract and grant audits prepared by DA&I, Washington Office. Included in these files are "Special Impact" audits which encompass cross-regional audits and "special" audits conducted by the Washington office. These audits document the functions, operations, and programs of DA&I by illustrating the type of audit, extent of the audit, and actions taken. The permanent retention of these files would not only provide a sample for the type of work performed by DA&I but would also preserve most notable cases. 6 cu ft. per year

Item 3, Investigative files

These files contain the working papers for the various cases under investigation by DAI. The cases involve fraud, collusion, criminal violations, violations of standards of conduct and/or theft of government property. Investigations that require further action are referred to the DOL legal offices or the Justice Department. These files, therefore, have no lasting historical value.

Items 1, 2b, 2c, and 3 for which disposal authority is requested are disposable because they do not have sufficient value for purposes of historical or other research, functional documentation or the protection of individual rights to warrant permanent retention by the Federal Government.

In general, the Office of Policy and Planning files document the policy decisions, procedures, and planning objectives adopted by DAI.



Gerald K. Haines  
Records Disposition Division

26 Apr. 76 Amended schedule sent for signature. *RH*



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NNF may be interested in knowing that NCD is studying agency audit files and is planning to include these in the revised General Records Schedules.

A handwritten signature in cursive script that reads "Ronald L. Heise". The signature is written in black ink and is positioned above the typed name.

RONALD L. HEISE  
Records Disposition Division