

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

3208/14

LEAVE BLANK	
JOB NO NC1-174-82-2	
DATE RECEIVED December 3, 1981	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
WITHDRAWN	
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 Inspector General

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Walter McDonough
Walter McDonough

5. TEL EXT
523-8401

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 _____ 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 <i>11/25/81</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Walter McDonough</i> Walter McDonough	E. TITLE <i>Departmental Records Officer</i> Chief, Administrative Management Staff
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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
	<p>The Office of Inspector General (OIG), Department of Labor (DOL), was established in October 1978, by the Inspector General Act of 1978, Public Law 95-452. The OIG's purpose of is to: (1) recommend policies to prevent and detect fraud, abuse and waste in DOL programs and operations, and increase their economy and efficiency; (2) conduct, supervise, and coordinate audits and investigations relating to DOL programs and operations; and (3) keep the Secretary of Labor informed about problems and corrective actions taken in the administration of agency programs and operations.</p> <p>The records series listed on this schedule are all programmatic files. Administrative files will be disposed of in accordance with the DOL Common Records Schedules, NC-174-76-1, and in accordance with the General Records Schedules.</p>		WITHDRAWN

13 items

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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
	<p style="text-align: center;"><u>OFFICE OF INVESTIGATIONS</u></p> <p>The Office of Investigations performs investigative functions relative to programs and operations within DOL. These investigations involve fraud against the Government, waste or abuse in any of the Department's programs, activities or operations. The Office of Investigations efforts to combat fraud in the Government may culminate in the imposition of criminal civil and administrative remedies. These remedies have both punitive and recoupment aspects. Investigations may be conducted in support of criminal, civil or administrative actions and may consist any of the following categories:</p> <ol style="list-style-type: none"> 1. Program investigations involving contractors, grantees, borrowers and others. 2. Procurement irregularities. 3. Investigations of criminal misconduct of irregular activities of Departmental employees. <p>1. <u>National Office and Field Intelligence Case Files.</u> Includes routine correspondence, newspaper clippings, and other records that document general intelligence information concerning individuals and organizations either subject to provisions of laws administered by DOL, or parties relevantly associated with such persons. Arranged numerically by violation classification code and serially numbered thereunder. Currently on hand is 17 cu. ft. Annual accumulation is expected to be 5 cu. ft.</p> <p><u>Disposition.</u> Cut off annually. Destroy when administrative Agency value is over, or when 5 years old, whichever is earlier.</p> <p>2. <u>National Office Investigative Case Files.</u> Includes complaints, financial investigations, investigative reports, and exhibits generated and accumulated in enforcement investigations, conducted by Field or National Office Investigative Staff. Arranged numerically by field office and thereunder by case number. Currently on hand is 183.5 cu. ft. of files. Annual accumulation for a & b categories is estimated to be 20 cu. ft.</p>		WITHDRAWN

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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
	<p>a. <u>Significant or Precedent-Setting Case Files.</u> (A and Z). "A" and "Z" cases are those referred to the Inspector General or the Assistant IG for Investigations for possible prosecution. These cases involve clear and present danger to human health or safety, poses an immediate threat to the integrity of a DOL program and actual or probable loss of \$25,000 or more.</p> <p>These investigative case files: establish a precedent and therefore result in a major DOL/OIG policy or procedural change; are involved in extensive litigation; receive widespread attention from the news media, and/or substantial interest of a Congressional Committee, the Secretary of Labor, or the White House; are selected to document agency procedures.</p> <p>"Z" cases are differ only because, they pertain^{er} to public officials and other prominent persons.</p> <p><u>Disposition.</u> Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Transfer to FARC 3 years after cutoff. Offer to NARS 10 years after cut-off. Annual accumulation is estimated to be 6 cu. ft.</p> <p>b. <u>All other cases.</u> Place in inactive file when case is closed. Cut-off inactive file at end of fiscal year. Transfer to FARC 3 years after cut-off. Destroy 10 years after cut-off. Annual accumulation is estimated to be 11 cu. ft.</p> <p style="text-align: center;"><u>OFFICE OF LOSS ANALYSIS AND PREVENTION</u></p> <p>The Office of Loss Analysis and Prevention (OLAP) conducts a research and analysis program aimed at identifying fraud, waste and abuse, losses and vulnerabilities in nationwide DOL programs, and designs techniques, methods and programs for the</p>		<p>WITHDR.</p> <p>WITHDRAWN</p>

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	<p>elimination or reduction of the specific loss or loss potential. This office plans and directs the research and analysis activities of the OIG, serves as program and strategy advisor to the Inspector General, and serves as the focal point to ensure that OIG program and organizational activity is effective and efficient. Develops and designs new and improved methods, techniques and programs to fully implement the purpose and intent of the Inspector General Act of 1978.</p> <p>1. <u>Project Analysis Workpaper Files.</u> These workpapers are a record of the nature and scope of project conclusions and serve as the basic papers from which the final project reports are prepared. They contain the back-up material in support of the project's findings, recommendations, and conclusions and serve as the basic papers from which the final project reports are prepared. The files are indexed by report number and subject area for the related analysis. Ten cubic feet are currently on hand, dating from September 1980 to August 1981. Annual accumulation is expected to be 10 to 15 cubic feet.</p> <p><u>Disposition.</u> Transfer to FARC 3 years after the end of the fiscal year in which the related final report was issued or after all findings and recommendations have been resolved or disposed of, whichever is later. Destroy 3 years later.</p> <p>2. <u>ADP Reviews.</u> As a part of certain projects, a review may be conducted to automated data bases. ADP related materials in the form of computer printouts and system documentation contain information in support of the project findings, recommendations, and conclusions. The records are the basic working papers which support analytic conclusions of the review or contain the data from which database review findings are reached. Files are indexed by project report number and computer report number. Fifteen cubic feet are currently on hand dating from November 1980 through August 1981. Annual accumulation is expected to be 10 to 20 cubic feet.</p> <p><u>Disposition.</u> Transfer to FARC 3 years after the end of the fiscal year in which the related analyses completed by OLAP. Destroy 3 years after transfer to FARC.</p>		<p>WITHDRAWN</p>

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	<p><u>3. Project Analysis Report Files.</u> The files contain the final reports of improvement projects and related analyses completed by OLAP. Indexed by report number, there are currently 5 cubic feet on hand, dating from August 1980 through August 1981. Annual accumulation is expected to be 5 to 10 cubic feet.</p> <p>a. Reports considered unusual because of their precedent setting nature, significance to DOL loss prevention activities, or methodological uniqueness.</p> <p><u>Disposition.</u> Transfer to FARC 3 years after the end of the fiscal year in which the report was issued, or after all findings and recommendations have been resolved or disposed of, whichever is later. Offer to NARS 3 years after transfer to FARC.</p> <p>b. Project Analysis reports not selected for retention under item a.</p> <p><u>Disposition.</u> Transfer to FARC 3 years after the end of the fiscal year in which the report was issued, or after all findings and recommendations have been resolved or disposed of, whichever is later. Destroy 3 years after transfer to FARC.</p> <p><u>4. GAO Report Files.</u> The files contain final reports, draft reports, and correspondence related to GAO review activities in the DOL. The files are indexed numerically by date of initial contact or date of final report. Approximately 45 cubic feet currently are on hand. Annual accumulation is expected to be 12 cubic feet per year.</p> <p><u>Disposition.</u> Within one year of issuance of a final report, destroy all draft reports and the DOL's response, providing the response has been included in the final report. Destroy all copies of final reports and responses after five years.</p> <p style="text-align: center;"><u>OFFICE OF AUDIT</u></p> <p>The Office of Audit administers a comprehensive audit program to independently assess internal departmental, contractor and grantee organizations</p>		<p>WITHDRAWN</p>

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	<p>and operations for (1) financial and compliance; (2) economy and efficiency, and (3) program results. The Office of audit also assists departmental management by identifying program deficiencies and ways to improve the efficiency and effectiveness of DOL programs, informs the Assistant Inspector General for Investigations of possible fraud and abuse uncovered during audits, and to provide audit support for investigations and fraud prevention activities.</p> <p><i>only original audits</i></p> <p>1. <u>Audit Report Files.</u> - This file contains the final audit report, the findings and determinations from ETA and related correspondence of program management, contract and grant audits done by or for DOL. The audit reports consist of audit conclusions, opinions, findings and recommendations for that particular contract/grant. The files are filed numerically by report number by fiscal year. Current volume on hand is 230 cu. ft., and the estimated annual accumulation is 98.</p> <p><u>Disposition.</u> Transfer to FARC three years after end of fiscal year in which the related final report was issued or after all findings and recommendations have been resolved or disposed of, whichever is later. Destroy three years later.</p> <p>2. <u>Contract Files</u> - These files contain the proposal, the contract and any modifications, correspondent, personnel authorization letters, grantee notification letters, progress reports, delivery schedules, task orders, invoices and each payment log. These files are arranged primarily by program. Within each program, the files are arranged numerically by the contract number assigned for each contractor.</p> <p><u>Disposition.</u> Transfer to FARC 3 years after the end of the fiscal year in which the contract expires. Destroy 3 years later.</p>		<p>WITHDRAWN</p>

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>OFFICE OF ORGANIZED CRIME AND LABOR RACKETEERING</u></p> <p>The mission of the Office of Organized Crime and Labor Racketeering is to identify, reduce, control, and prevent organized crime/labor racketeering within the United States and Puerto Rico through investigative activity at all Strike Force locations.</p> <p>1. <u>National and Field Office Investigative Case Files.</u> Includes complaints, specific criminal information and other documentation that leads to indictments and convictions of individuals subject to laws administered by DOL concerning organized crime/labor racketeering. Arranged numerically by field office location and thereunder by case number. Currently on hand is 5 cu. ft. of files. Annual accumulation is estimated 1 cu. ft.</p> <p><u>Disposition.</u> Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Transfer to FARC five years after cut-off. Destroy ten years after cut-off.</p> <p>Significant or Precedent - Setting Cases Files. (A and B)</p> <p>These investigative case files:</p> <ul style="list-style-type: none"> - Establish the identify of associates or reputed members of organized crime's influence and/or control of labor unions within the U.S. and the Commonwealth of Puerto Rico. - Receive widespread attention from the news media, and/or substantial interest of a Congressional Committee, the Secretary of Labor, or the White House. 		<p>WITHDRAWN</p>

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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
	<p>"A" Major and extensive criminal conspiracies falling within the annual Mission and Strategy Statement of the OOCR.</p> <p>"B" Other cases not falling within the scope of Category A and are lesser criminal conspiracies in nature.</p> <p><u>Disposition:</u> Place in inactive file when case is closed. Cut-off inactive file at end of fiscal year. Transfer to FARC 3 years after cut-off. Offer to NARS 10 years after cut-off. Annual accumulation is estimated to be 1 cu. ft.</p> <p>2. <u>National Office and Field Cross Index Card.</u> The cross index card records individuals and organizations maintained in the case development and investigative case file for collation and analysis purposes and to provide for the quick retrieval of information.</p> <p><u>Disposition.</u> Retain in office until no longer needed.</p>		<p>WITHDRAWN</p>