

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		N1-433-12-06	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408		DATE RECEIVED 7/30/12	
1. FROM (Agency or establishment) U.S. Department of Labor		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Mine Safety and Health Administration (MSHA)			
3. MINOR SUBDIVISION Administration and Management			
4. NAME OF PERSON WITH WHOM TO CONFER Darlene Green	5. TELEPHONE 202-693-9823	DATE	ARCHIVIST OF THE UNITED STATES <b>WITHDRAWN</b>
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 <u>6</u> 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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 7/26/2012	SIGNATURE OF AGENCY REPRESENTATIVE William Keisler <i>William Keisler</i>	TITLE DOL Records Officer	
7. Item No.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Small Electronic Systems (see attached)  Retention is based on the GRS.		

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CONTENTS:

1. MSHA's E-Mail Archive (E-MAIL)
2. Space Plans (Electronic)
3. United Parcel Service (UPS) Passkey and Shipping Administration Reports
4. Occupant Emergency Plan (OEP) and Shelter in Place Plan
5. Personal Identification Verification System

1. MSHA's E-mail Archive System (EMAIL):

Purpose of the System: The MSHA e-mail archive system consists of e-mails received and sent by the MSHA employees. The system is a means for archiving, retaining, and retrieving e-mail. Archive feature is a necessary part of an overall compliance program. MSHA uses a commercial off-the-shelf (COTS) e-mail archive system as a supplemental system to search and retrieve e-mails when needed, at a lower cost than searching for data on .pst e-mail export files or backup tapes. Archiving reduces compliance risk and provides operational efficiencies related to eDiscovery and Freedom of Information Act (FOIA) e-mail searches. Software provides reference assistance and search ability for e-mail content held in the overall MSHA email system.

All incoming and outgoing e-mail will be archived to central repositories each day.

Disposition:

Note: The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium. The records are media neutral.

Emails thirty (30) days old will be replaced with a shortcut in Outlook that points to the archived e-mail. After one (1) year the shortcut will be removed from Outlook, but the archived e-mail will remain available to the user in the central archive repository. After three (3) years the archived e-mail will be removed from the central repository.

Temporary: Retain for three (3) years from origination and then delete.

Paper and electronic records are disposed of in accordance with DOL Record Schedules and/or the appropriate NARA General Records Schedules. E-mails required to be retained are printed and sent to the Records Officer for archiving within sixty (60) days of creation or receipt of the message.

Archive Repository:

(Archive) all new Incoming and Outgoing e-mail messages in Microsoft Outlook mailboxes daily.

2. AutoCAD (Electronic) Space Plans (or similar system)

Program Supported by the System:

The Management Services Division (MSD), Facility and Property Branch processes approximately 75 space changes annually using the Autodesk AutoCAD (AutoCAD) System. AutoCAD is a part of Autodesk's architectural and space planning solutions. The space planning and design component of AutoCAD is used to draft, layout and design all floor plan components of the interior of Gannett Building located in Arlington, Virginia. also use this program for all District and Field Offices. The master data files are considered vital records.

DISPOSITION:

a. Data Input:

Requests for changes to offices or workstations for new and existing employees, draft floor plans, workstation designs and office space layouts. Request correspondence and related files retention periods and disposition instructions are governed by GRS 11(2) (b) (1).

Temporary. Destroy when 3 years old.

b. Master Data Files:

AutoCAD is a computer assisted drafting (CAD) software application used to draft, layout, design and re-configure potential and existing offices and workstations. Designs for the proposed office, space or workstation include components for lighting, electrical, plumbing, HVAC, and wall and furniture layout.

The design process is based on the "master floor plan" of a layout of how the building is currently structured. There are also working files in the system, of areas that are in the process of being designed and/or redesigned. Old floor plans are superseded by the newly designed and approved space plan. The system currently stores the designs of offices, training facilities, conference rooms, copier rooms, automated processing facilities, pantries, the cafeteria, bathrooms, utilities closets, and supply rooms and the like within Gannett Building.

Temporary. Electronic Files: Delete individual record when superseded, or when structure/space retired from service.

c. System Outputs:

Floor Plans - hard copies of old and new construction plans are filed by floor and division by the Space Planning team.

Temporary. Non-electronic (Paper) Floor Plans: Maintain for a period of five years after entry into system. Destroy upon verification that they are no longer needed for current business.

d. Documentation and Software:

Autodesk AutoCAD Operator's Manual [www.usa.autodesk.com](http://www.usa.autodesk.com)  
The Space Planner purchases updates of the system on a bi-annual basis. Updates to the system are performed by the Information Technology (IT) Staff of . (GRS 20, Item 11)

Temporary. Destroy or delete when superseded or obsolete, or upon deletion of the related master file or database, or upon the output is needed to protect legal rights, whichever is later.

3. United Parcel Service (UPS) Passkey and Shipping Administration Reports

Program Supported by the System:

The UPS Passkey and Shipping Administration system is a web-based on-line application that is administered by UPS for the use of its customers. uses the UPS program to manage the shipping and receiving of packages within and outside the agency. The primary function of the system is to maintain administrative control and resolve erroneous billing occurrences. The system allows the user the ability to view, edit or delete transaction information including information about the shipment sender or recipient, and financial information such as invoice information. In addition to shipping, users may also use the track/history, fast ship and report features. Currently, there are approximately 2000 address records stored in the central address book.

DISPOSITION:

a. Data Input:

Data such as, names and addresses, additions or deletions to the central address book (within the program), and requests for pick up and delivery of letters and packages are entered by the employees shipping the letter or package.

Temporary. Destroy after the information has been entered into system accurately, converted to an electronic medium and verified, or when no longer needed. (GRS 20, Item 2a)

b. System Outputs:

The system is used to generate cost reports by office, date, account number, etc. Information pertaining to shipment is available for 45 days. After that time period, UPS automatically removes historical records from the application.  
(GRS 20, item 1(c))

Temporary. Delete or destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

4. Occupant Emergency Plan (OEP) and Shelter in Place Plan

Occupant Emergency Plan may require employees to be evacuated from their immediate workplaces and relocated to a safer area, either inside or outside of a building. The types of emergency include fire, explosion, discovery of an explosive device, severe weather, earthquake, chemical or biological exposure or threat, hostage takeover, and any other physical threat to the safety of occupants or visitors inside a building. All OEPs will give direction for various situations including those when Shelter-In-Place (SIP) (a plan that requires staying in designated areas of the building) is the best course of action, and those situations when it is safer to evacuate the building. All plans will include procedures that take into consideration the special needs of people with disabilities. The primary objective is to prevent and minimize injury or loss of life. Therefore, it is imperative that each person knows what to do, when to do it, and where to do it if the whole building is evacuated. These plans are considered vital records of the Branch. The plans and related files are all stored in a dedicated folder on a shared network server which is backed up nightly. Electronic versions on the server are covered by GRS 18(30) (b).

Temporary. (Destroy when obsolete or superseded or when no longer needed for dissemination, revision or updating.)  
Retention and deletion of nightly server backup tapes are governed by GRS 20 8(b).

The Occupant Emergency Plan contains information such as evacuation instructions, emergency contact numbers, and building entry instructions.

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The Shelter in Place Plan contains information such as instructions and procedures for plan implementation, duties for personnel, radio instructions and relocation plans.

The electronic copy is maintained on the intranet is considered the current version. Paper Copies are distributed to emergency operational staff throughout the building and a paper record copy created and stored.

Permanent. Paper Files (Record Copy). Maintain one copy of each plan as a record copy. Cut off file yearly. Retire to WNRC in blocks of 5 years when oldest record is 10 years old. Transfer to the National Archives when 20 years old.

Consolidated Records of Operations Tests or Comprehensive Reports of Testing. Maintain one copy of each test or report as a record copy.

Permanent. Cut off file yearly. Retire to WNRC in blocks of 5 years when oldest record is 10 years old. Transfer to the National Archives when 20 years old.

Paper Files (All other copies)

Temporary. Destroy when obsolete or superseded or when no longer needed for current reference.

5. The Personal Identification Verification System (PIV) is a stand alone application that is maintained in the Facility and Property Management Branch. The users access the system through an independent network of PCs that are connected to a master database on one PC. The database is backed up on another PC. The system is used to monitor and control employee and visitor entrance into and exit from the building, as well as to establish access parameters to areas and divisions throughout the building. The National Office processes millions of transactions annually using the PIV System.

This electronic system and the Personal Identification Verification (PIV) folders (input to the system) stores employee social security numbers which are subject to the privacy act. They are considered vital records.

Data Input:

In order to obtain a badge, the employee must submit a completed Identification Card Request Form (OA 189E) or Request for PIV Card Issuance (used by employees and contractors new to the Federal

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Government as of October 2008). A PIV file folder system is maintained in the security office to store background check information for each BLS employee who receives an id badge. Documents to be filed in the PIV Folder include, but are not limited to:

- PIV Processing Checklist
- Applicant's current photograph, which the Applicant presented at PIV Processing.
- Copy of the Form 1-9, Employment Eligibility Verification, with copies of the documents used for identity verification attached.
- Copies of background investigation forms (i.e., Standard Forms (SF) 85, 85P, or 86) and the Security Clearance Record (DL Form 1-189).
- Original or copy of Fingerprint Card (SF 87, revised 4-84) for Federal employees and FD-258 (revised 12-29-82) for Contractors.
- Request for PIV Card Issuance.

Additions and edits of employee or visitor access or restrictions to space are submitted via Help Desk request tickets, electronic mail messages, and telephone voice mail messages.

Disposition:

Completed Identification Card Request Form (OA 189E):  
Temporary. Destroy when 2 years old.

PIV File:

Temporary. Retain for one year after the separation or retirement of employee, then destroy/delete.

Update Requests:

Temporary. Destroy upon verification that all information has been entered into system accurately, but no later than 3 months after receipt. Supersedes N1-257-88-1 Item 204

Help desk request and response records: These electronic records are scheduled as part of the help desk system.



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Requests for Access to the Data Center:

Temporary. Email requests for access to the data center are kept in a folder on a shared server. Delete when superseded or obsolete.

Master Data Files:

The system database is PC-based Sal Server database that is backed up monthly to another system workstation and to CD-ROM. Offsite storage of monthly backup CDs and duplicate copies of the software is planned for the near future as a vital record protection strategy.

The database contains employee and contractor identifying information, including Social Security Number, Organization, Duty Building, Room Number, Phone Number and Area Access Information. When a visitor badge is issued an electronic photograph of the visitor is stored directly in the system. In addition, employees are required to scan their badges at the turnstiles upon entering and exiting the building and those transactions are stored.

Tapes containing identification and transaction history from a prior version of the system which date from prior to 2000 to early 2004, when this system was installed are maintained by the Branch.

Disposition:

Database Files-Individual Employee record:

Temporary. Destroy when superseded, updated, or one year after employee separation, whichever is later.

Database Files-Entry and Exit Transaction Records:

Temporary. Maintain for 3 years after period covered or until no longer needed for administrative or reference purposes, whichever is sooner, then delete/destroy.

Database Backup (CD, Tape or Hard Drive):

Temporary. Destroy when 1 year old.

Historic Backup Tapes:

Temporary. Maintain for 3 years after period covered or until no longer needed for administrative or reference purposes, whichever is sooner, then delete/destroy.

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Vital Record Backups (Database and Software):

Temporary. Destroy when superseded by next backup.  
(GRS 24, Item 4a)

System Outputs:

Administrative reports such as cardholder reports and alarm reports are requested by system users.

Disposition:

Temporary. Destroy when no longer needed for current business or when two years old, whichever is sooner.

Documentation:

Personal Identification Verification System (PIV) by Xtex, Inc.  
User Manual.