

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

U.S. Department of Labor

2. MAJOR SUBDIVISION

Employment Standards Administration

3. MINOR SUBDIVISION

Office of Management, Administration & Planning

4. NAME OF PERSON WITH WHOM TO CONFER

Dottie Chester

5. TELEPHONE

202 523-8447

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-448-92-1

DATE RECEIVED

1-13-92

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

12/1/92

ARCHIVIST OF THE UNITED STATES

[Signature]

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 ___ 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

1/6/92

SIGNATURE OF AGENCY REPRESENTATIVE

Kenneth A. Mills

TITLE

Departmental Records Manager

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

The Office of Management, Administration and Planning (OMAP) acts as support for the Employment Standards Administration. OMAP provides ESA with long range goals and objectives designed to solve problems and meet the needs of the Nation's workforce. It provides analysis and review of ESA programs, policies, and organizational components to assure efficiency, uniformity of enforcement, and integrity of fiscal and programs operations. OMAP also develops and administers ESA's budget, including allocation of resources, and evaluates the overall impact and effectiveness of ESA in meeting the real needs of the Nation's workforce.

Copies sent to agency, NN-W, NNT, NCF, NIA 12/7/92

OFFICE OF MANAGEMENT, ADMINISTRATION AND PLANNING

Office of the Director

1. **EXECUTIVE CORRESPONDENCE.** Copies of official correspondence prepared in response to inquiries addressed to the Assistant Secretary for ESA, ESA program heads, the Secretary of Labor and other DOL assistant secretaries or high ranking officials. Responses include a copy of the incoming correspondence and may be for the signature of the Director of the Office of Management, Administration and Planning or may have been prepared for the signature of the addresses. The incoming correspondence may be from the general public, other Federal agencies, Congressional bodies, private industry, interest groups or constituencies served by ESA programs, among others. The subject matter of the inquires includes a broad range of issues, such as requests for printed materials, policy guidance, administrative and personnel procedures, budgetary information, among others.

Disposition: Break file at the end of fiscal year. Destroy when 5 fiscal year old, or when no longer needed, whichever is sooner. (new)

2. **OMAP NOTICES.** Copies of notices generated in OMAP and signed by the Director, Deputy Director or Division head. These NOTICES include information or requests for action. Filed in binders, by fiscal year.

Disposition: Break file at the end of fiscal year. Hold file 5 fiscal years. Retire to the Federal Records Center when 5 fiscal years old. Destroy when 10 fiscal years old. (New)

3. **ASSISTANT SECRETARY MEMORANDUM.** Copies of memoranda signed by the Assistant Secretary or Deputy. Memoranda includes instructions and requests for action on a wide variety of subjects. Filed in binders, by fiscal year.

Disposition: Break file at the end of fiscal year. Destroy when 10 fiscal years old or when no longer needed. (New)

4. **CONFERENCE CALLS.** File consists of call schedule, agenda items, memoranda on ~~conference~~ arrangements.

Disposition: Break file at the end of fiscal year. Destroy 2 years after termination of committee/conference. (new)

GRS 16/8

5. ~~STAFF MEETINGS.~~ File consists of notes, discussion items, agenda format.

~~Disposition:~~ Break file at the end of fiscal year. Destroy when 2 years old or when not longer needed. ~~(new)~~ *whichever is sooner.* GRS 23-1

6. ~~COMMITTEES.~~ File consists of membership nomination materials, minutes, notes of discussions.

~~Disposition:~~ Break file at the end of fiscal year. Destroy file 2 years after termination of committee/conference. ~~(new)~~ GRS 16/8

7. ~~REORGANIZATIONS FILES.~~ File consists of delegations of authority, discussion items, copies of correspondence between national office and field, OMB and other components.

~~Disposition:~~ PERMANENT. Break file at the end of fiscal year. At the end of 10 fiscal years, offer to the National Archives. Cubic feet on hand 1/8. Annual rate of growth undetermined. File scheme subject. ~~(new)~~ Destroy when 2 years old. GRS 23/1

8. TOTAL QUALITY MANAGEMENT/QUALITY WORK LIFE. File consists of notes from meetings on action items, memoranda to staff on initiatives, guidelines and information concerning task force findings and recommendations.

Disposition: Break file at the end of fiscal year. Destroy file when 5 fiscal years old after full implementation. (new)

DIVISION OF FINANCIAL MANAGEMENT (DFM)

9. **FECA FINANCIAL MANAGEMENT AND CHARGEBACK FILES.** These files consist of agency chargeback billing history and payment status.
- Disposition: Break file at the end of fiscal year. Destroy file 6 years and 3 months after the close of the fiscal year involved. (new)
10. **LONGSHORE/DCAA INVESTMENT FILES.** These files consist of investment history and current portfolio for Longshore/DCAA.
- Disposition: Break file at the end of fiscal year. Destroy file 6 years and 3 months after the close of the fiscal year involved. (new)
11. **BACKWAGE DISBURSEMENT AND DEPOSIT FILES.** Documentation, receipts, ledgers and supporting materials pertaining to the collection and disbursement of backwages.
- Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to the National Archives when 6 fiscal years and 3 months old. Cubic feet on hand 10.0. Annual rate of growth 2.5 cubic feet. File scheme chronological by date. (new)
12. **BLACK LUNG FINANCIAL MANAGEMENT FILES.** Documents pertaining to the financial management of the Black Lung program and trust fund.
- Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to the National Archives when 6 fiscal years and 3 months old. Cubic feet on hand 1.0. Annual rate of growth 1.0 cubic feet. File scheme chronological by date. (new)
13. **APPROPRIATION ALLOTMENT FILES.** Allotment records showing status of obligations and allotments under each authorized appropriation.
- Disposition: Break file at the end of fiscal year. Destroy file 6 fiscal years and 3 months after the close of the fiscal year involved. (new)
14. **OBLIGATION DOCUMENTS/DEPOSITS.** Documents contain information pertaining to the obligation of funds or the deposit of funds.

Disposition: Break file at the end of fiscal year. Destroy file when 3 fiscal years old. (new)

15. **IAS CODE SHEETS.** These code sheets are the integrated accounting system data input forms.

Disposition: Break file at the end of fiscal year. Destroy file when 3 fiscal years old. (new)

16. **BUDGET POLICY FILES.** Files contain documents related to the development of agency programs plans, FTE ceiling allocations, etc.

Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to FRC when 6 fiscal years old. Transfer to the National Archives when 10 years old. Cubic feet on hand 8.0. Annual rate of growth 4.5 cubic feet. File scheme chronological by date. (new)

17. **BUDGET ESTIMATES AND JUSTIFICATION FILES.** Fiscal year estimates and justification, appropriate language, narrative statements and related materials (including working papers and background materials).

Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to FRC when 5 fiscal years old. Transfer to the National Archives when 10 fiscal years old. Cubic feet on hand 39 cubic feet. Annual rate of growth 4.25 cu ft. File scheme chronological by date. (new)

18. **ANNUAL ADVANCE PROCUREMENT PLAN.** This file consists of copies of Agency Program's AAPPs.

Disposition: Break file at the end of fiscal year. Destroy file when 3 fiscal years old. (new)

19. **PAPERWORK REDUCTION ACT.** File contains reports and supporting documentation pertaining to requests for clearance of agency public use forms or regulations submitted to OMB for paperwork clearance.

Disposition: Break file at the end of fiscal year. Destroy when 3 fiscal years old, unless documentation relates to an active report. (new)

20. **MANAGEMENT STUDIES (E.G. IRM REVIEWS, MICROCOMPUTER ACQUISITIONS, ETC.).** File includes studies, reviews along with associated

documentation such as memoranda, notices, controlled inquiries and OMB Bulletins concerning A-76 studies, IRM and Microcomputer Acquisitions.

Disposition: Break file at the end of fiscal year. Transfer to FRC when 4 fiscal year old. Destroy file when 7 fiscal years old. (new)

21. **AGENCY PROGRAM OPERATIONAL PLANS.** Memoranda and other documentation pertaining to the development of agency program operating plans.

Disposition: Break file at the end of fiscal year. Destroy when 5 fiscal years old. (new)

22. **QUARTERLY REVIEW AND ANALYSIS REPORTS.**

- a. Incoming Report: Incoming Regional QR & A reports and supporting documentation.
b. Feedback Report (outgoing): Quarterly feedback reports concerning execution of the annual agency program plan.

Disposition: Break file at the end of fiscal year. Transfer to FRC when 4 fiscal years old. Destroy when 7 fiscal years old. (NCI-448-76-1 Item 27.) (changed)

23. **ACCOUNTABILITY REVIEW REPORTS.** Memoranda and related documentation concerning whether ESA program offices have been conformance with ESA fiscal and other procedures.

Disposition: Break file at the end of fiscal year. Destroy when 5 fiscal years old (NCI-448-76-1 Item 44). (changed)

24. **STUDIES, POSITION PAPERS, AND MEMORANDA DEVELOPED AT THE REQUEST OF OFFICIALS OF THE DEPARTMENT OF LABOR.** Research and evaluation files consisting of studies, papers, and reports on the following key issue impacting ESA program areas such as: Analysis of the financial condition of the Black Lung Trust Fund in response to legislative changes.

Disposition: Break file at the end of fiscal year. Destroy when 5 fiscal years old. (NCI-448-76-1 Item 42.) (changed)

DIVISION OF PERSONNEL AND ORGANIZATION MANAGEMENT

25. **EMPLOYEE AWARD FILES.** Departmental level award files concerning awards and supporting documentation made at the Departmental level or higher (Presidential, Congressional, etc.).

Disposition: Break file at the end of fiscal year after approval or disapproval. Destroy file 2 fiscal years after approval or disapproval. (new)

26. **ESA ORGANIZATIONAL FILES.**

(a) ESA Formal directives distributed as orders, circular, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally, these are issued by authority of the head of the agency.

Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to the National Archives when 20 years old in 5 year blocks (e.g. 1970-1974 block in 1995). Cubic feet on hand 1/8 cubic foot. Annual rate of growth 1/8 cubic foot. File scheme by year. ~~(new)~~ *Supersedes NCI-448-76-1, item 1b.*

(b) ESA Organizational files consisting of charts and reorganization studies. Graphics illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. These files may also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

Disposition: PERMANENT. Break file at the end of fiscal year. Transfer to FRC when 3 fiscal years old. Transfer to the National Archives when 20 fiscal years old in 5 year blocks (e.g. 1970-1974 block in 1995). Cubic feet on hand 2.5. Annual rate growth 1/8 cubic foot. File scheme by program name. ~~(new)~~ *Supersedes NCI-448-76-1, item 1b*

(c) ESA Mission and Functional Statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of an agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.

Disposition: PERMANENT. Break file at the end of fiscal year. ~~Transfer~~ Transfer to FRC when 3 fiscal years old. Transfer to NARA when 20 fiscal years old in 5 year blocks (e.g., 1970-1974 block in 1995). Cubic feet on hand 2.5. Annual rate of growth 1/8 cubic foot. File scheme by program name. ~~(new)~~ *Supersedes NEI-448-76-1, item 1b.*

DIVISION OF INTERNAL MANAGEMENT CONTROL (DIMC)

27. **MANAGEMENT SURVEYS AND STUDIES.** Internal management control reports, vulnerability assessments, internal control reviews and surveys on a wide variety of management analysis.

Disposition: Break file at the end of fiscal year. ^{Retire} ~~Transfer~~ to FRC when 5 fiscal years old. Destroy when 9 fiscal years old. (NCI-448-76-1, Item 5) (changed)

28. **OIG AND GAO REPORTS AND ESA RESPONSES.** DOL OIG and GAO audit reports or surveys pertaining to ESA. File also contains agency responses to management audits and supporting documentation.

Disposition: Break file at the end of fiscal year. ^{Retire} ~~Transfer~~ to FRC when 5 fiscal years old. Destroy when 9 fiscal years old. ~~(new) Supersedes NCI-448-76-1 item 50~~

29. **ESA COMPLAINT AND EMPLOYEE CONDUCT INVESTIGATIONS.** Complaint file which is maintained by DIMC. Cases are generated by unsolicited assertions of fraud, waste or abuse, which are not criminal in nature (criminal or potentially criminal matters are referred to the Office of the Inspector General). These complaints are received by DIMC by way of telephone or written contact from the general public or referrals from the OIG.

Disposition: Case files should be maintained in DIMC for 5 fiscal years after the case is closed. Destroy when 5 fiscal years old after closure. (new)

DIVISION OF AUTOMATED SYSTEMS MANAGEMENT (DASM)

30. **ADMINISTRATIVE MANAGEMENT FILES.** Files contain letters, memoranda, reports, statistics, forms and miscellaneous documents concerning the operations of the Division. Files also contain data on projects where DASM personnel have performed the role of COTR on a specific project in support of ESA programs.

Program Related Data

Disposition: Break file at the end of fiscal year. Destroy when 5 fiscal years old. (new)

31. ~~DASM PROCUREMENT AND CONTRACTING FILES.~~ Bids, proposals, contracts and requisitional and supporting documentation.

See Revision

~~Disposition: ~~PERMANENT.~~ Retain for 3 fiscal years, or length of contract. Transfer to FRC after 3 fiscal years. Transfer to the National Archives after 10 fiscal years. Cubic feet on hand 40. Annual rate of growth 3. File scheme contract year. (new)~~

GKS 3/3

GKS 3/50

32. **AUTOMATED SYSTEMS EQUIPMENT INVENTORY.** Records, forms and other documentation pertaining to the Agency automated data systems purchases and acquisitions including word processing.

Disposition: Break file at the end of each fiscal year. ~~Transfer~~^{BEFORE} to FRC at 5 fiscal year intervals. Destroy when 10 fiscal years old. (new)

33. **ADP SYSTEMS SECURITY.** Correspondence, memoranda and other documentation pertaining to the security of ADP systems, including word processing.

Disposition: Break file at the end of each fiscal year. ~~Transfer~~^{BEFORE} to FRC when 3 fiscal years old. Destroy when 5 fiscal years old. (new)

DIVISION OF SUPPORT SERVICES (DSS)

34. ~~FREEDOM OF INFORMATION ACT. FOIA report files, recurring reports and one-time information requirements relating to the agency's implementation of the FOIA, including the annual FOIA report.~~
ESH

~~Disposition: PERMANENT. Break file at the end of the calendar year. Transfer to the National Archives when 5 calendar years old. Cubic feet on hand 8. Annual rate of growth 1 cubic foot. File scheme by region/office year. (new) Destroy when 2 years old~~

GRS 14/11

35. ~~PRIVACY ACT. Recurring reports and one-time information requirements relating to agency's implementation, including annual report to Congress, OMB and reports on new systems.~~

~~Disposition: PERMANENT. Break file at the end of the calendar year. Transfer to the National Archives when 5 calendar years old. Cubic feet on hand 1. Annual rate of growth 1 cubic foot. File scheme by region/office. (new) Destroy when 2 years old.~~

GRS 14/25

36. **SURPLUS PROPERTY RECORDS.** Property records and receipts of property deemed surplus by appropriate authority.

Disposition: Break file at the end of fiscal year. Destroy 6 fiscal years after final decision to declare surplus. (new)

37. **PROCEDURAL AND OPERATING MANUALS.**

See Revision

a. ESA Agency procedural and operating manuals, amendments to manuals, ESA Manual of Administration (MOA).

Disposition: PERMANENT. Transfer to the National Archives in 5 fiscal year blocks, when 20 fiscal years old (e.g. 1970-1974 block in 1995). Volume on hand 5 cubic feet. Annual rate of growth less than one cubic foot. File scheme by Program. (new)

b. Notices transmitting manual ESA updates.

Disposition: PERMANENT. Transfer historical materials to the National Archives when 5 fiscal years old as manual parts (above) are transferred. (new)