

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-577-07-1	
To: national archives & records administration 8601 adelphi road college park, md 20740-6001		Date received 12/03/07	
1. FROM (Agency or establishment) Office of Compliance		NOTIFICATION TO AGENCY	
2. MAJOR 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER: Teresa James, Director, Dispute Resolution	5. TELEPHONE (202) 724-9250	DATE 5/30/08	ARCHIVIST OF THE UNITED STATES Allen W. ...
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 needed now for the business for 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 11/30/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Teresa James</i>		TITLE Dir. of Dispute Resolution
7. ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Office of Compliance Please See Attached		
LE 5/23/08 copies sent to agency. UWMB, UWME, UWMW, NUWS, UWCT-2R UWL, & DR			

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1	<p>1. Executive Director and Deputy Executive Directors Records</p> <p>This series includes information about general office administration, ethics, budget and finance, personnel, IT, the Alternative Dispute Resolution program, the Education and Information program, and certain Labor-Management matters.</p> <p>1.a Official Files. Legislative histories, testimonies, speeches, briefing books, policy statements, official correspondence to Congressional entities and stakeholders, policies, and standard operating procedures (SOPs) for Executive Director and Deputy Executive Directors' office.</p> <p>Permanent. Cut off at end of fiscal year. Transfer to the National Archives 10 years after cutoff.</p> <p>1.b Administrative Dispute Resolution (ADR) Files. Files include confidential requests for advice/information, counseling, mediation, administrative hearings, Board appeals, mediation surveys, dispute resolution procedure forms, case-processing standard operating procedures (SOPs), general correspondence files, decisions of hearing officers and Board of Directors, and case indexes and docket cards.</p> <p>1.b.1 Advice and information, Counseling, Mediation, hearings and appeals, including all case-related forms, filings, notices, exhibits, transcripts, correspondence, decisions, case indexes, and docket cards. Filed by case number.</p> <p>Temporary. Cut off at end of fiscal year in which case is closed. Destroy 10 years after cutoff.</p> <p>1.b.2 Mediation Surveys, dispute resolution procedure forms, and general correspondence files. Filed by case number.</p> <p>Temporary. Cut off at end of fiscal year in which case is closed. Destroy 5 years after cutoff.</p>		

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1 (continued)	<p>1.b.3 Administrative Dispute Resolution standard operating procedures. (SOPs)</p> <p>Permanent. Cut off when superseded by next version. Transfer to the National Archives 10 years after cutoff.</p> <p>1.b.4 PARADOX or subsequent case-tracking database system.</p> <p>Temporary. Delete/destroy when no longer needed to conduct business.</p> <p>1.c <i>Labor-Management Relations.</i> Case files relating to representation petitions, review of negotiability, review of arbitration awards, and impasse proceedings, as well as labor-management relations standard operating procedures (SOPs) and forms.</p> <p>1.c.1 Petitions filed for representation, review of negotiability, review of arbitration awards, and impasse proceedings.</p> <p>Temporary. Cut off at end of fiscal year. Destroy 15 years after cutoff.</p> <p>1.c.2 Labor-Management Relations forms</p> <p>Temporary. Cut off at end of fiscal year. Destroy when superseded by next version.</p> <p>1.c.3 Labor-Management Relations standard operating procedures (SOPs).</p> <p>Permanent. Cut off when superseded by next version. Transfer to the National Archives 10 years after cutoff.</p> <p>1.d <i>Education/Dissemination Files.</i> Educational materials including newsletters, bulletins, brochures, training/conference materials, handbook, <i>Fast Facts</i>, and OOC website.</p> <p>1.d.1 Educational materials including newsletters, bulletins, brochures, training/conference materials for OOC-hosted events, handbook, and <i>Fast Facts</i>.</p>		

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1 (continued)	<p>Permanent. Cut off at end of fiscal year. Retain at OOC. Transfer to NARA 5 years after cutoff.</p> <p>1.d.2 OOC website (http://www.compliance.gov)</p> <p>Temporary. Delete when superseded by next version.</p> <p>1.d.3 OOC Informational Flyers</p> <p>Temporary. Cut off at end of fiscal year. Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule.</p>		
2	<p>1.e <i>Official Photographs.</i> Formal photographs of the agency's office, the Board of Directors, Executive Director, Deputy Executive Directors, General Counsels, and meetings and special events sponsored by the agency.</p> <p>Permanent: Cut off in five year blocks. Transfer record elements specified in 36 CFR 1228.266(b) to NARA 5 years after cutoff.</p> <p>2. Office of the General Counsel This series consists of files documenting biennial inspections and requestor-initiated inspections by the Occupational Safety and Health Act (OSHA) and the Americans with Disabilities Act (ADA), requests made to the General Counsel regarding unfair labor practices, litigation files generated when the General Counsel is involved in cases in federal district court or a court of appellate jurisdiction, and historical files documenting the working of the agency.</p> <p>2.a <i>OSHA Inspections.</i> These records consist of the results of the statutorily mandated biennial inspections of Capitol Hill facilities covered by the Congressional Accountability Act for compliance with the Occupational Safety and Health Act of 1970. Such records may also contain the results of several special inspections undertaken by this office under the OSH Act regarding such topics as fire safety in covered facilities. They include, but are not limited to, field notes of inspections, correspondence to and from employing offices and other officials, charts, graphs, and blueprints.</p>		

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2 (continued)	<p>Other records include drafts and correspondence regarding the statutorily required biennial report of the results of the inspections to Congress. These files are tracked in the Facilities Management Assistant (FMA), an in-house tracking system. FMA is not the official recordkeeping copy.</p> <p>Also present are the results of inspections initiated by an employee or employing office covered by the Congressional Accountability Act. They include, but are not limited to, field notes of inspections, correspondence to and from employing offices and other officials, charts, memoranda, reports, and documented policies and procedures. These files are not tracked in the FMA system.</p> <p>2.a.1 Biennial inspections.</p> <p>Temporary. Cut off at end of each Congress. Destroy 10 years after cutoff.</p> <p>2.a.2 Requestor-initiated inspections.</p> <p>Temporary. Cut off at end of each Congress. Destroy 10 years after cutoff.</p> <p>2.b <i>ADA inspections.</i> These records consist of the results of the statutorily mandated biennial inspections covered by the Congressional Accountability Act for compliance with the Americans with Disabilities Act of 1990. They include, but are not limited to, field notes of inspections, correspondence to and from employing offices and other officials, charts, graphs, and blueprints. Other records include drafts and correspondence regarding the statutorily required biennial report of the results of the inspections to Congress.</p> <p>Also present are of the results of inspections initiated by an employee or employing office covered by the Congressional Accountability Act. They include, but are not limited to, field notes of inspections, correspondence to and from employing offices and other officials, charts, memoranda, reports, and documented policies and procedures.</p>		

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2 (continued)	<p>2.b.1 Biennial inspections.</p> <p>Temporary. Cut off at end of each Congress. Destroy 10 years after cutoff.</p> <p>2.b.2 Requestor-initiated inspections.</p> <p>Temporary. Cut off at end of each Congress. Destroy 10 years after cutoff.</p> <p><i>2.c Unfair Labor Practices.</i> Inspections of requests made of the General Counsel regarding unfair labor practices as authorized by the Federal Labor Relations Act. These requests may be made by employees or employing offices covered by the Congressional Accountability Act. The records include, but are not limited to, notes of interviews, correspondence to and from employing offices and other officials, and memoranda.</p> <p>Temporary. Cut off at end of fiscal year. Delete/destroy when no longer needed to conduct business.</p> <p><i>2.d Litigation Files.</i> These records are generated when the General Counsel litigates, or is party to, a case in a federal district court or court of appellate jurisdiction, arising from a decision of the Board of Directors, or under the mediation or complaint processes. The records include, but are not limited to, attorney work product, official court documents, internal memoranda or research, and correspondence.</p> <p>Temporary. Cut off at end of fiscal year. Destroy 10 years after cutoff.</p> <p><i>2.e Historical Documents.</i> Records include final reports, legal opinions, and permanent biennial OSHA and ADA inspection reports.</p> <p>Permanent. Cut off at end of fiscal year. Transfer in five-year blocks five years after cutoff.</p>		

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3	<p>3. Board of Directors This series documents official Board functions including promulgating rules, issuing studies and reports, and responding to ethics inquiries concerning Board members.</p> <p>3.a Official Files. These files include appointment records, speeches, testimonies, official minutes of Board meetings, agendas, and high-level correspondence.</p> <p>Permanent. Cut off at end of fiscal year. Transfer to NARA 15 years after cutoff.</p> <p>3.b Rulemaking Files.. Procedural rules adopted by the Board and substantive regulations approved by Congress to implement the Congressional Accountability Act (CAA), amendments, comments, and notices in the Congressional Record</p> <p>Temporary. Cut off at end of fiscal year. Destroy when no longer needed for reference, or 30 after cutoff, whichever is longer.</p> <p>3.c Board Reports and Studies. Public reports to Congress, including the OOC's Annual Report, reports issued pursuant to sections 102(b) and 301(h) of the CAA, the section 230 study, and other miscellaneous reports issued by the Board.</p> <p>Permanent. Cut off at end of fiscal year. Transfer to NARA 10 years after cutoff.</p> <p>3.d Board Decisions. Published decisions of the Board of Directors.</p> <p>Permanent. Cut off at end of fiscal year. Transfer to NARA 10 years after cutoff.</p> <p>3.e Ethics Inquiries. Ethics questions regarding Board members.</p> <p>Temporary. Cut off at end of fiscal year. Destroy 20 years after cutoff.</p>		