

Request for Records Disposition Authority

Records Schedule Number DAA-0174-2013-0003
Schedule Status Approved

Agency or Establishment Department of Labor
Record Group / Scheduling Group General Records of the Department of Labor
Records Schedule applies to Major Subdivision
Major Subdivision Office of Congressional and Intergovernmental Affairs
Schedule Subject Records of the Office of Congressional and Intergovernmental Affairs
Internal agency concurrences will be provided Yes

Background Information Mission: The Office of Congressional and Intergovernmental Affairs (OCIA) provides direction for legislative and intergovernmental programs of the Department of Labor (DOL) and implements decisions by and for the Secretary and Deputy Secretary for all policy and operations matters which affect legislative programs, proposals, and priorities.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	1	8	0

GAO Approval

Outline of Records Schedule Items for DAA-0174-2013-0003

Sequence Number	
1	<p>OCIA serves as the principal strategist and advisor to the Secretary and Deputy Secretary with respect to legislative projects of the Department. Oversees the review of all legislation introduced which affects DOL and its programs; Coordinates the official Departmental comments on all legislation introduced which affects DOL and its programs; responsible for the testimony presented to Congressional hearings or oversight reviews including the development hearing strategies, selection witnesses, and development of testimony and briefing materials to best communicate the Department's position to Congress. Liaison to Office of Management and Budget, the National Economic Council, the White House, and the Treasury Department with respect to the Administration and Departmental budget policy issues. Liaison with representatives of constituent groups and organizations, and State and Local government officials who have an interest in and impact upon DOL programs. Coordinates and manages all DOL services to individual members of Congress and officials in the legislative branches, including technical assistance, communications, requests for meetings with the Secretary, announcement of grant awards, and constituent inquiries.</p>
1.1	<p>Correspondence/Casework Files Disposition Authority Number: DAA-0174-2013-0003-0001</p>
1.2	<p>Notification/Announcement Files. Disposition Authority Number: DAA-0174-2013-0003-0002</p>
1.3	<p>DOL Legislative Work/Initiatives Files. Disposition Authority Number: DAA-0174-2013-0003-0003</p>
1.4	<p>Confirmation/Appointment File for Officials below Department of Secretary of Labor Level. Disposition Authority Number: DAA-0174-2013-0003-0004</p>
1.5	<p>Nonconfirmed Files. Disposition Authority Number: DAA-0174-2013-0003-0005</p>
1.6	<p>Hearing Preparation Files. Disposition Authority Number: DAA-0174-2013-0003-0006</p>
1.7	<p>Assistant Secretary's (OCIA) General Files Disposition Authority Number: DAA-0174-2013-0003-0007</p>
1.8	<p>Assistant Secretary's (OCIA) Memoranda Files. Disposition Authority Number: DAA-0174-2013-0003-0008</p>
1.9	<p>Assistant Secretary's (OCIA) Subject Files Disposition Authority Number: DAA-0174-2013-0003-0009</p>

Records Schedule Items

Sequence Number																	
1	<p>OCIA serves as the principal strategist and advisor to the Secretary and Deputy Secretary with respect to legislative projects of the Department. Oversees the review of all legislation introduced which affects DOL and its programs; Coordinates the official Departmental comments on all legislation introduced which affects DOL and its programs; responsible for the testimony presented to Congressional hearings or oversight reviews including the development hearing strategies, selection witnesses, and development of testimony and briefing materials to best communicate the Department's position to Congress. Liaison to Office of Management and Budget, the National Economic Council, the White House, and the Treasury Department with respect to the Administration and Departmental budget policy issues. Liaison with representatives of constituent groups and organizations, and State and Local government officials who have an interest in and impact upon DOL programs. Coordinates and manages all DOL services to individual members of Congress and officials in the legislative branches, including technical assistance, communications, requests for meetings with the Secretary, announcement of grant awards, and constituent inquiries.</p>																
1.1	<p>Correspondence/Casework Files</p> <p>Disposition Authority Number DAA-0174-2013-0003-0001</p> <p>Correspondence files of all types i.e. letters, faxes and email casework sent to OCIA, arranged chronologically without regard to subject or content, used primarily as a reading or reference file.</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr><tr><td>GRS or Superseded Authority Citation</td><td>N1-174-06-1, Item 1</td></tr></table> <p>Disposition Instruction</p> <table><tr><td>Cutoff Instruction</td><td>Cutoff files at the end of the calendar year.</td></tr><tr><td>Transfer to Inactive Storage</td><td>1 year after cutoff.</td></tr><tr><td>Retention Period</td><td>Destroy 3 year(s) after cutoff.</td></tr></table> <p>Additional Information</p>	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	Yes	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	GRS or Superseded Authority Citation	N1-174-06-1, Item 1	Cutoff Instruction	Cutoff files at the end of the calendar year.	Transfer to Inactive Storage	1 year after cutoff.	Retention Period	Destroy 3 year(s) after cutoff.
Final Disposition	Temporary																
Item Status	Active																
Is this item media neutral?	Yes																
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No																
GRS or Superseded Authority Citation	N1-174-06-1, Item 1																
Cutoff Instruction	Cutoff files at the end of the calendar year.																
Transfer to Inactive Storage	1 year after cutoff.																
Retention Period	Destroy 3 year(s) after cutoff.																

1.2

GAO Approval Not Required

Notification/Announcement Files.

Disposition Authority Number DAA-0174-2013-0003-0002

Communications and correspondence received from and responded to members of Congress, State and Local governments, and the White House. These files are related to a variety of inquiries about the Department of Labor's grant, and notifications of awards, arranged chronologically (electronic) by grant and alphabetically (paper) by state.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-174-06-1, Item 3

Disposition Instruction

Cutoff Instruction Cutoff files at the end of the project.

Transfer to Inactive Storage Maintained in office.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

1.3

DOL Legislative Work/Initiatives Files.

Disposition Authority Number DAA-0174-2013-0003-0003

Memoranda created about legislative initiatives, documents submitted to OMB and or transmitted to congressional/state staff, meetings, briefings, and or conference call prep for technical assistance, policy proposal, or questions regarding DOL policies. Arranged chronologically by Committee.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

1.4	GRS or Superseded Authority Citation	N1-174-06-1, Item 6
	Disposition Instruction	
	Cutoff Instruction	Closed upon completion of project. Cut off files at the end of the calendar year.
	Transfer to Inactive Storage	Maintained in office.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Confirmation/Appointment File for Officials below Department of Secretary of Labor Level.	
	Disposition Authority Number	DAA-0174-2013-0003-0004
	Emails and/or memoranda created regarding nominee, nomination progress, confirmation hearing, or questions for the record. Arrange alphabetically by nominee.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
1.5	GRS or Superseded Authority Citation	N1-174-96-6, Item 8
	Disposition Instruction	
	Cutoff Instruction	Close at completion of nomination process. Cut-off closed files at the end of the year. Maintain in office space.
	Retention Period	Destroy 3 year(s) after cut-off.
	Additional Information	
	GAO Approval	Not Required
	Nonconfirmed Files.	
	Disposition Authority Number	DAA-0174-2013-0003-0005

Emails and/or memoranda created regarding nominee, nomination progress, confirmation hearing, or questions for the record for personnel nonconfirmed or appointed.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Closed upon notification of nonconfirmation or appointment.

Transfer to Inactive Storage Maintain in the office until no longer needed then transfer to the FRC.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Hearing Preparation Files.

Disposition Authority Number DAA-0174-2013-0003-0006

Memoranda, working files, and background materials on program, regulatory and legislative matters, arranged alphabetically by Committee.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-174-06-01, Item 2

Disposition Instruction

Cutoff Instruction Cutoff closed files at the end of the calendar year.

Transfer to Inactive Storage Maintained in the office.

Retention Period Destroy 2 year(s) after cutoff.

1.6

1.7

Additional Information

GAO Approval Not Required

Assistant Secretary's (OCIA) General Files

Disposition Authority Number DAA-0174-2013-0003-0007

Schedules, travel files, and phone call logs, arranged chronologically without regard to subject or content.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut-off at the end of fiscal year.

Retention Period Destroy 6 year(s) after cut-off.

Additional Information

GAO Approval Not Required

Assistant Secretary's (OCIA) Memoranda Files.

Disposition Authority Number DAA-0174-2013-0003-0008

Memoranda to the Secretary, Deputy Secretary, Assistant Secretaries, and White House personnel, providing legislative and policy recommendations.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
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Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cut-off at the end of calendar year.

Transfer to Inactive Storage Maintain in office for 1 year after cut-off or no longer needed, then transfer to Federal Records Center.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after the end of an Administration.

Additional Information

First year of records accumulation 2000

What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2008

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	2 Cubic feet	.25 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

Cutoff Instruction Cut-off files at the end of calendar year. Maintain records as cut-off for 15 years. Transfer to the National Archives as directed.

Transfer to the National Archives for Accessioning Transfer to the National Archives 4 year(s) after the end of an Administration.

Additional Information

First year of records accumulation 2009

What will be the date span of the initial transfer of records to the National Archives? From 2009 To 2016

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	.25 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.9

Assistant Secretary's (OCIA) Subject Files

Disposition Authority Number DAA-0174-2013-0003-0009

Documents including data analysis, policy analysis, meeting notes, background materials, formal and informal Departmental discussions, arranged alphabetically by subject.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

Disposition Instruction

Retention Period Destroy no sooner than 3 year(s) after Assistant Secretary leaves office. but longer retention is authorized

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/02/2013	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
02/11/2014	Return for Revision	Jim Cassidy	Appraiser	National Archives and Records Administration - Records Management Services
06/05/2014	Submit For Certification	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
06/05/2014	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
09/26/2016	Submit for Concurrence	Jim Cassidy	Appraiser	National Archives and Records Administration - Records Management Services
09/27/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/27/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

09/28/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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