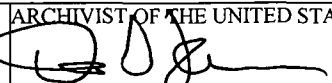
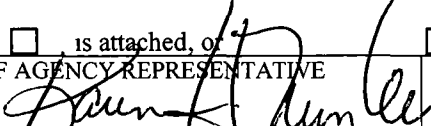


REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION WASHINGTON, DC 20408		JOB NUMBER NI-174-09-3	
1 FROM (Agency or establishment) U.S. Department of Labor (DOL)		DATE RECEIVED 9/17/09	
2 MAJOR SUBDIVISION Ofc. Of the Assistant Secretary for Administration and Management		NOTIFICATION TO AGENCY	
HUMAN RESOURCES CENTER		DATE 27 Aug 11 ARCHIVIST OF THE UNITED STATES 	
4 NAME OF PERSON WITH WHOM TO CONFER DENISE LOVE, OASAM Records Manager	5 TELEPHONE 202-693-7278		

6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 8 page(s) are not 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 Manuel for Guidance of Federal Agencies,		
X is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested		
DATE 9-15-2009	SIGNATURE OF AGENCY REPRESENTATIVE Karen H Nunley 	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 GRS OR SUPERSEDED JOB CITATION	10.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)
1-38	See Attached Descriptive List for US Department of Labor Office of the Assistant Secretary for Administration and Management (OASAM) Human Resources Center (HRC)		

**US Department of Labor
Office of the Assistant Secretary for Administration and Management (OASAM)
Human Resources Center (HRC)**

Background:

Mission To provide leadership, guidance, and technical expertise in all areas related to management of the Department's human resources, including recruitment and development of staff, management of personnel systems, and leadership in labor management partnership Provides services to Department of Labor employees to improve and support work and family life, and direct human resource support and services for OASAM and OASAM client Agencies

Functions:

- Assists managers in attracting, developing, and retaining a highly qualified and diverse workforce Provides recruitment programs and initiatives, orientation for entering employees, and career counseling and progression services and programs
- Develops human resource programs and provides Departmental leadership and direct client services for staffing, classification, performance management, and pay administration
- Assists DOL managers in executive management and provides advisory services related to organizational design
- Performs related program analysis and evaluation and manages supporting automated systems
- Represents the Department to the Office of Personnel Management and the Merit Systems Protection Board in matters related to human resource issues and related responsibilities
- Provides leadership and expert assistance in Departmental employee relations and labor management relations matters Administers DOL's collective bargaining agreements, provides policy and technical guidance regarding employee and labor relations issues Represents the Department of Labor in negotiations and proceedings before various third parties
- Provides leadership in the development of family and work life programs and initiatives
- Provides Departmental guidance and technical assistance in matters related to employee benefits and direct benefits counseling and services for employees of OASAM and client Agencies
- Produces the Department's internal communication media, including Labor Exchange and OASAM Newsletter, and disseminates human resource management regulations and program information through paper and electronic media, e g , LaborNet
- Promotes the Department's efforts to enhance customer service, streamline organizations, and reduce costs, monitors the DOL Agencies' progress on reinvention initiatives
- Provide facilities and related support services for use in training, meetings, and conferences

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

Administration: OASAM/HRC Records Pertaining to Administrative Functions

- 1 **Department of Labor Official Organization Charts.** Records, including correspondence and background materials, relating to the departmental organizational charts, functional statements and other related records
Official Copy:
 - a **Paper**
Disposition: PERMANENT Cut-off inactive records when superseded or canceled
Transfer to FRC 3 years after cut-off Transfer to the National Archives in 5 year blocks, 10 years after file cut-off
 - b. **Electronic**
Disposition: PERMANENT Cut-off inactive records when superseded or canceled
Transfer to the National Archives in 5 year blocks, 10 years after file cut-off in accordance with NARA standards
- 2 **Controlled and Major Correspondence (Blue Borders) - Senior Officials:** Includes signed controlled and major correspondence that (1) significantly documents program activities, and/or (2) was processed under special handling control procedures (Blue Borders) Case file consists of incoming letters, copies of the responses, enclosures, and supporting material Also includes indexes to the correspondence
 - a. **Signature-Level: Secretary of Labor and Other DOL Senior Officials – Paper.**
Disposition. PERMANENT Cut-off at the end of the calendar year Transfer to FRC 3 years after cut-off Transfer to the National Archives with any related documentation and external finding aids 15 years after file cut-off
 - b. **Signature-Level: Secretary of Labor and Other DOL Senior Officials – Electronic.**
Disposition. PERMANENT Cut-off at the end of the calendar year Transfer to the National Archives with any related documentation and external finding aids, as specified in 36 CFR 1228 270 or standards applicable at the time, 15 years after file cut-off
 - c **Reference Copy** Copy(ies) of the signature page of the official record copy returned to the signature senior official filed as part of the reading file, subject file, or chronology file
Disposition. TEMPORARY Delete/Destroy in accordance with the disposition instructions of the series of which it becomes a part
- 3 **Controlled and Major Correspondence (Blue Borders) - Division Directors:** Correspondence includes signed controlled and major correspondence signed by Division Directors and other personnel
Signature-Level: Division Directors and Other HRC Personnel.
Disposition. TEMPORARY Cut-off at the end of the calendar year Transfer to FRC 3 years after cut-off Destroy 10 years after file cut-off
- 4 **General Correspondence Files.** Incoming letters and enclosures, and copies of all non-controlled correspondence and memoranda relating to work accomplishments, personnel needs, and other routine activities of the office
Disposition. TEMPORARY Cut-off at the end of the calendar year Transfer to FRC 3 years after cut-off Destroy 5 years after file cut-off

- 5 **Office of the Director Subject Files.** Original, convenience copies, extra copies, copies for information and reference of correspondence and other documents that are usually duplicated in program files and do not require action

a. **Official Copy.**

Disposition. TEMPORARY Cut-off at the end of the calendar year Destroy immediately after cut-off

b. **Reference Copy**

Disposition. TEMPORARY Destroy when no longer needed for current business

- 6 **Meetings and Conferences Case Files.** Memoranda, correspondence and reports concerning internal HRC meetings Includes All-Hands, staff meetings, managers meetings, regularly scheduled and/or ad hoc meetings

Office-level or DOL/HRC-wide.

Disposition. TEMPORARY File by subject, and then chronologically Cut-off at the end of the calendar year Destroy 3 years after cut-off **Supersedes NC-174-76-1, item 1.**

- 7 **Standard Operating Procedures (SOPs).** Standard operating procedures for the office or a specific process

Official Copy.

Disposition. TEMPORARY Review at the end of the calendar year Destroy when superseded or obsolete **Supersedes NC-174-76-1, item 1.**

- ~~8 **Word Processing Files and Spreadsheets.** Documents such as letters memoranda, reports handbooks, directives, and manuals produced and recorded on electronic media~~

~~**Official Record Copy - Word Processing and Spreadsheets.**~~

~~**Disposition.** TEMPORARY Cut-off when finalized Move to a drive with "Read Only" access Disposition is the same as paper copies according to subject matter listed in this schedule- GRS 20, Items 13 and 15~~

Audits and Surveys – Records Pertaining to Audits and Surveys

- 9 **Audits, Investigations, Surveys Case Files.** Consists of all documents pertaining to specific audits, accountability reviews, desk audits, etc except Audits of Contracts and those audits requiring a longer retention

Official Copy.

Disposition. TEMPORARY Cut-off at the end of the calendar year Transfer to a FRC when 3 years old Destroy when 6 years old **Supersedes NC1-174-76-3, item 1.**

Budget - Records Pertaining to the Preparation, Review, and Submission of the Budget Data, Including Estimates, Justifications, Policies, and Procedures

- 10 **Financial Planning and Analysis General Correspondence Files.** Consists of subjective general correspondence maintained at the Bureau level Records include items that refer to financial planning/budgeting and analysis/procedures in general which would not be suitable for filing in a specific case file

Official Copy

Disposition. TEMPORARY Cut-off at the end of the fiscal year Maintain in office
Destroy 3 years after cut-off **Supersedes NC-174-76-1, item 1.**

**Equipment - Records Related to Equipment Use
and Property Owned by the Department of Labor**

- 11 **Equipment Maintenance Records.** Receipts and records of equipment maintenance and repairs used to reconcile monthly credit charges for repairs

Disposition. TEMPORARY Cut-off at the end of the fiscal year Destroy after final payment for service **Supersedes NC-174-76-1, item 1.**

**Event Management - Records Related to the Scheduling
and Management of Departmental Programs and Events**

- 12 **Events, Seminars, Conferences, Meetings Case Files.** Events Case Files which include records related to sponsorship or participation in Departmental events, professional associations conferences, seminars Records consist of event materials, reports, agendas and arrangements, floor plans, evaluations, and other related documents

Official Copy.

Disposition. TEMPORARY Cut-off at the end of the calendar year Destroy 2 years after cut-off **Supersedes NC-174-76-1, item 1.**

- 13 **Events Follow-up Action Files.** Space and Events follow-up activities May include confirmation of hospitality services, extra copies of events material contained in the Official Events Case Files The Director maintains the Official Events Files Official record copies that result from these activities are included in the Official Events Files DOL Finance Office has signed copies of funding authorizations

a Official Case Files

Disposition. TEMPORARY File any record material chronologically by year and event name Cut-off when event is completed Destroy 2 years after cut-off **Supersedes NC-174-76-1, item 1.**

b All Other Material

Disposition. TEMPORARY File non-record material chronologically by year and event name Destroy immediately after event is completed (cut-off) **Supersedes NC-174-76-1, item 1.**

- 14 **Space and Equipment Leasing Case Files.** Requests for space and equipment leasing Files include applications for space, floor plans, seating arrangements, alcohol exemption, any audio-visual needs

Official Copy.

Disposition. TEMPORARY Cut-off and the end of the fiscal year Destroy 3 months after cut-off **Supersedes NC-174-76-1, items 1 and 18.**

**Facilities - Records Related to the Support and Space Reservations for Training
Conferences and Meeting Facilities**

- 15 **Architectural and Engineering Drawings.** Paper original (not copies) architectural and

engineering drawings of U S DOL facilities

Disposition. PERMANENT Cut-off upon closing of building Transfer to NARA immediately upon cut-off

- 16 **Space and Building Renovation Files.** Correspondence, memoranda, surveys, blueprints, drawings, reports and other documents relating to space and/or building remodeling, repairing and maintenance **Blueprints and drawings are copies -- not originals.** See Record Series Item 16 for the disposition of original architectural drawings, etc

Disposition. TEMPORARY Cut-off at the end of the calendar year or at the completed renovation Keep for 3 years and then transfer to FRC Destroy 10 years after cut-off

- 17 **General Services Administration (GSA) Public Building Service General Correspondence Files.** General correspondence with the GSA's Public Building Service

Disposition. TEMPORARY Cut-off at the end of the calendar year Keep for 3 years and then transfer to FRC Destroy 5 years after cut-off **Supersedes NC-174-76-1, item 7.**

Graphics and Printing - Records Related to the Design, Development and Printing of Poster, Brochures, Certificates and Other Documents

- 18 **Publications, Brochures, Posters Files.** Official record copy of each brochure, newsletters, posters and other graphic and published documents

Official Copy.

Disposition. TEMPORARY File alphabetically by program and brochure name Cut-off when obsolete or superseded Destroy 3 years after cut-off **Supersedes NC-174-96-4, item 3.**

Human Resources Management - Records Pertaining to Human Resources Management That Are Not Covered by Other Functions.

- 19 **Training Records – Program Specific Materials** Official record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency

Disposition. TEMPORARY Cut-off at the end of the calendar year in which training is completed Keep for 3 years and then transfer to FRC Destroy when 5 years old, or 5 years after completion of the training **Supersedes NC-174-76-1, item 16.**

- 20 **Determining Examining Case Files (below GS-14).** Individual case files of individuals eligible for examination May include correspondence, certificate of eligibility, examining and recruitment operations, test materials and related materials

Disposition. TEMPORARY Filed alphabetically by last name Cut-off at the end of the calendar year and then transfer to FRC Destroy 3 years after cutoff

- 21 **Determining Examining Log Books.** Statistical data on delegated examining activities used to submit the quarterly report to OPM

Disposition. TEMPORARY Cut-off at the end of the calendar year Destroy 3 years after submission to OPM

- 22 **Employee Award Files - Department-Level.** Records relating to department-level awards

Disposition. TEMPORARY Cut-off at the end of the calendar year Destroy when 3 years old **Supersedes NC-174-76-1, items 12, 13, and 14.**

- 23 **Employee Performance Records - (Presidential Appointees).** Performance records pertaining to Presidential appointees are not covered by GRS

Disposition. TEMPORARY Cut-off at the end of the calendar year or when appointee leaves the position Keep for 3 years and then transfer to FRC Destroy 5 years after date of appraisal

Information Technology - Records Related to the Operation of Information Technology (IT) Services within the Human Resources Center.

- 24 **Information Systems Project Files — Implemented.** Records documenting each Information System project within the U S DOL Each project typically includes the following documentation, as well as related correspondence and explanatory records Statement of Work (SOW), Project Plans, Configuration Management Plan, Security Plan, Business Case/Plan, Functional/Technical Requirements, Test Plan, Training Plan, Implementation Plan, and Change Management Plan

Moderate to Complex projects may also include Risk Assessment Plans, Quality Assurance Plans, External Design Document, Internal Design Document, Operator's Manual, User's Manual, Maintenance Plan, and Conversion Plan Includes projects such as e Clearance, e Learning, e Training, e Recruit, DOORS

Disposition. TEMPORARY Cut off when project is completed or terminated Keep for 3 years and then transfer to FRC Destroy 5 years after project is completed or terminated
GRS 24, Item 11b

- 25 **Information Technology (IT) Project Management Files — Not Implemented.** Records of individual projects designed to provide and support new agency IT systems, and services This includes all hardware, software (such as operating systems and shared applications), and any services necessary to design, implement, test, validate, and maintain said items Includes records documenting Requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications

System development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, cost and benefits, and work associated with implementation, modification, and trouble shooting

a — Models, diagrams, schematics, and technical documentation

Disposition. TEMPORARY Cut off at the end of the calendar year when the final decision is made Destroy/Delete 1 year after cut off GRS 24, Item 11a

b. — Quality assurance reviews and test plans, data, and results.

Disposition. TEMPORARY Cut off at the end of the calendar year when the final decision is made Destroy/Delete 1 year after cut off GRS 24, Item 11c

- 26 **Web Related Project Case Files.** Project files relating to the development and design of HRC internet, intranet, and extranet web sites including the development of portals, browser interfaces used to access information systems and applications within the U S DOL, and informational pages

Disposition. TEMPORARY Cut-off at the end of the calendar year in which the project is completed or terminated Keep for 3 years and then transfer to FRC Destroy 5 years after

cut-off

- ~~27 **Information Technology (IT) Equipment Support Services Files.** Records related to the control and operation of building and rooms where IT equipment, systems, and storage media are located. Files identifying IT facilities and sites, and Files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.~~

~~**Includes:** LAN access and equipment; audio/visual equipment; computer laboratory access and related services/equipment.~~

~~**Disposition.** TEMPORARY Cut-off at the end of the calendar year. Destroy 3 years after cut-off, or when superseded or obsolete, whichever is longer. GRS 24, Item 2~~

- ~~28 **User Identification, Profiles, and Authorizations Files.** User identification and access records, including user profiles.~~

~~**Disposition.** TEMPORARY Cut-off when system user information is updated or terminated, or when no longer needed for security purposes, whichever is later. Destroy immediately upon cut-off. GRS 24, Item 6~~

Emergency Planning - Records Pertaining to the Development of Plans for the Continuous Operations and Other Emergency Plans and Actions.

- 29 **Continuity of Operations (COOP) Plan Files.** Contains continuity of operations (COOP) plans and directives for the continued operation of DOL in times of an emergency or disaster. Includes related background documents such as correspondence, reports and instructions, charts and plans used in defense mobilization planning, evacuation shelters, emergency relocation and the vital records protection program.

Continuity of Operations (COOP) Plan or Directive.

Disposition. TEMPORARY Cut-off inactive records when superseded or cancelled. Keep for 3 years and then transfer to FRC. Destroy 5 years after file closure.

- 30 **Pandemic Influenza Planning Case Files.** Records relating to programs/activities to ensure DOL maintains its ability to function with minimal/no interruption during an influenza pandemic. Records include DOL Pandemic Influenza Preparedness and Response Plans, implementation plans, Standard Operating Procedures, documents resulting from coordination activities of Planning Group, telework testing and table top exercises, workforce awareness and preparedness efforts and LaborNet Web Page information. Also includes interagency cooperative policy development and guidance, state pandemic plans and Community.

Part of the DOL Continuity of Operations Plan.

Disposition. TEMPORARY Cut-off inactive records when superseded or cancelled. Keep for 3 years and then transfer to FRC. Destroy 5 years after file closure.

Policy - Records Pertaining to All Aspects of Department-wide Policy Guidance for Human Resources Management Programs and Activities.

- 31 **Policy, Directives, Guidance Documents.** Includes all records that document major policy decisions and program operational procedures originated with each program office providing mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memoranda that set policy or issue guidance, operating guidance, regulatory interpretation, implementation documents, and mandates.

a. **Paper**

Disposition. PERMANENT Close inactive records upon issuance or publication or when superseded Keep for 3 years and then transfer to FRC Transfer to the National Archives in 5 year blocks, 20 years after file closure

b. **Electronic**

Disposition. PERMANENT Close inactive records upon issuance or publication or when superseded Transfer to the National Archives in 5 year blocks, 20 years after file closure

- 32 **Human Resources Directives, Policy and Guidance.** Covers all Policy Advisory Notices, guidance documents and the background materials and drafts necessary to fully document the development of the policy/directive with Human Resources Program/procedures applicability

Official Copy-Paper.

Disposition. PERMANENT Review every 2 years for continued applicability Cut-off file once directive is issued or superseded Keep for 3 years and then transfer to FRC Transfer to National Archives and Records Administration 5 years after file closure

Official Copy-Electronic.

Disposition. PERMANENT Review every 2 years for continued applicability Cut-off file once directive is issued or superseded Transfer to National Archives and Records Administration 5 years after file closure, in accordance with NARA standards

- 33 **Human Resources Directives and Policy Guidance Background Material.** Background material that does not document the development of a directive, policy or guidance

Disposition. TEMPORARY Review when directive is issued or superseded Destroy when no longer needed or once directive/policy is superseded

Program Management - Records Related to the Management of Programs.

- 34 **Human Resources Management (HRM) Program Management Case Files.** Records relate to specific Human Resources Programs that are not address elsewhere in this schedule Programs include Management Development Program (MDP), Supervisory and Management Training Program (SMTP), MBA Fellows Program

Disposition. TEMPORARY Cut-off at the end of the calendar year or the completion of a project, whichever is sooner Keep for 3 years and then transfer to FRC Destroy 10 years after cut-off **Supersedes NC-174-76-1, item 16.**

- 35 **HRM LOB and PMA Initiatives Program Management.** Records related to the Human Capital Line of Business (LOB) and the President's Management Agenda (PMA) Initiatives Includes Human Capital *Scorecard* and *Proud To Be Reports*, correspondence, studies, reports and other documents that relate to the DOL's compliance with these Government-wide initiatives

Surveys, Human Capital Scorecard, Proud To Be Reports, Interagency Agreements and Memoranda of Understanding; POAMS and related records.

Disposition. TEMPORARY Cut-off at the end of the calendar year Keep for 3 years and then transfer to FRC Destroy 10 years after cut-off **Supersedes NC-174-76-1, item 16.**

- 36 **HRM Program Management Studies.** Consists of workforce studies, analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, activity, progress, management improvement, and other reports and other related records

Disposition. **TEMPORARY** Cut-off at the end of the calendar year Keep for 3 years and then transfer to FRC Destroy 10 years after cut-off **Supersedes NC-174-76-1, item 16.**

Project Management - Records That Relate to Project Management.

- 37 **Project Management Case Files.** Records relating to all aspects of the management and control of specific projects Includes project plans, cost benefit analysis, feasibility studies, statements of concept, risk management plans, and memoranda, reports and other records documenting assignments, progress and completion of stages/project

Disposition. **TEMPORARY** Cut-off at the termination of the project Keep for 3 years and then transfer to FRC Destroy 5 years after the year in which the project is completed/closed **Supersedes NC-174-76-1, item 17.**

Safety and Health - Records Pertaining to Safety and Health Programs.

- 38 **Workforce Health and Safety Program Files.** Records relating to the DOL programs to protect and promote the health and safety of US workforce **Excludes records related to Pandemic Influenza. (Emergency Planning, Record Series Item 30).**

Disposition. **TEMPORARY** Cut-off inactive records when superseded or cancelled Keep for 3 years and then transfer to FRC Destroy 5 years after file closure