Rec'd NCD 30 Jan 80

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK
JOB NO NC1-317-80-1
DATE RECEIVED 1-30-80
NOTIFICATION TO AGENCY
In accordance with the provisions of 44 U S C 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
WITHDRAWN
Date — Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT): U. S. Department of Labor
2. MAJOR SUBDIVISION: Labor-Management Services Administration
3. MINOR SUBDIVISION: Office of Labor-Management Standards Enforcement
4. NAME OF PERSON WITH WHOM TO CONFER: Barry G. Sharp
5. TEL. EXT.: 523-6859

JER

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
1/25/80	Elaine Jackson	Departmental Records Officer

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	LMSA RECORDS SCHEDULE NO. 11		WITHDRAWN
	The Labor-Management Reporting and Disclosure Act of 1959, as amended, (LMRDA) provides for public disclosure of information about certain financial actions and administrative practices of labor organizations and employers. Labor organizations and employers are required to furnish such information to the Secretary of Labor. The Secretary has responsibility for collecting and analyzing the information, and for its disclosure to the public.		
	The Office of Labor-Management Standards Enforcement, a component of the Labor-Management Services Administration (LMSA), is assigned the responsibility to plan, administer, and direct the programs to carry out the provisions of the LMRDA and Section 7120 of the Civil Service Reform Act of 1978 (CSRA).		
	This schedule supersedes portions of NN-165-173, approved 2/25/66 (LMSA Records Schedule No. 1); NN-166-161, approved 4/13/66 (LMSA Records Schedule No. 2); ~~and, NC-1-317-78-2, approved 9/28/78 (LMSA Records Schedule No. 10)~~.		

115-107

Withdrawn/Closed Out: 3-2-82: K.T.J.

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	Compliance Operations		
	a. National Office and Field Intelligence Case Files Includes correspondence, Forms LM-200, newspaper clippings, and other records that document general intelligence information concerning individuals and organizations either subject to provisions of the LMRDA or Section 7120 of the Civil Service Reform Act of 1978, or parties relevantly associated with such persons. Arranged numerically by violation classification code and serially numbered thereunder. Disposition. Cut off annually, hold five (5) years, transfer to Federal Records Center, hold five (5) additional years, then destroy. Exception: Documents forming a basis for investigative action will be transferred to the appropriate Investigative File.	NN-166-161, Item 1a.	
	b. Field Investigative Case Files. Correspondence, complaints, investigation reports, and exhibits relating to compliance and financial investigations. Arranged numerically by case number.		WITHDRAWN (See NC1-317-81-1)
	(1) Primary Case Files. Accumulated by office assigned primary investigative responsibility. Disposition. Remove from active files when case is closed, hold three (3) years, transfer to Federal Records Center, hold seven (7) additional years, then destroy. (NOTE: Cases referred for legal action will be cut off when litigation action is completed or when case is administratively closed.)	NN-166-161, Item 1b. (1)	
	(2) Auxiliary Case Files. Maintained by the office providing auxiliary investigative support. Disposition. Remove from active file when case is closed, hold one (1) year, then destroy. (NOTE: Original exhibits and other records necessary to document the investigation will be forwarded to the office having primary investigative responsibility.)	NC-1-317-78-2, Item 1.	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	c. National Office Investigative Case File. Complaints, investigation reports and exhibits in compliance investigations conducted by Field Offices or National Office Investigative Staff, and financial investigations:	NN-165-173, Item 3a. (2)	
	Disposition.		
	(1) Remove from active file when case is closed. Hold Election Investigation Case Files in separate file for six (6) years, then transfer to the Federal Records Center.		
	(2) Hold all other investigation case files in separate file for three (3) years, then transfer to Federal Records Center. Destroy all investigation case files 15 years after year closed.		
	(3) Investigative case files having precedential value or historical significance are to be separated from the others when eligible for transfer to the Federal records Center where they will be held until fifteen (15) years after year closed, then offered to the National Archives.		
2.	Labor-Management Reporting (LMRDA)		
	a. Labor Organization Information Report. Form LM-1, LM-1A or equivalent; supporting documents including organization constitution and bylaws, trusteeship data (includes LM-6, LM-15/LM-15A, and LM-16).		
	(1) Originals. All original reports and attachments are to be retained and filed numerically in the National Office by organization number assigned in the order in which received.	NN-165-173, Item 2a. (1)(b)	
	Disposition.		
	(a) Remove cancelled reports and reports of terminated labor organizations from active file as cancelled or terminated. Hold in separate file for one (1) year, then transfer to Federal Records Center. Destroy five years after year cancelled or terminated.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(b) Reports having historical significance will be separated from the others when eligible for transfer to the Federal Records Center where they will be held until five (5) years after year cancelled or terminated, then offered to the National Archives.		
	(2) Duplicates.		WITHDRAWN (see NC1-317-81-1)
	(a) Active Organizations. Retain the Field copy of the original LM-1 and most current LM-1A. Remove all previous amendments and destroy.	NN-166-161, Item 3a. (2)(a)	
	(b) Cancelled Reports and Reports of Terminated Labor Organizations.	NN-166-161, Item 3a. (2)(b)	
	Disposition. Cut off when organization is cancelled or terminated, hold one (1) year, then destroy.		
	b. Labor Organization Annual Financial Reports. Forms LM-2, LM-3 or equivalent.		
	(1) Originals. Filed numerically in the National Office by organization number assigned in the order in which the LM-1 is received.		
	Disposition.		
	(a) Active Reports. Cut off annually, hold five (5) years, transfer to Federal Records Center, hold five (5) additional years, then destroy.	NN-165-173, Item 2b. (1)(a)	
	(b) Cancelled Reports and Reports of Terminated Organizations. Remove from active file as cancelled or terminated. Hold in separate file for one (1) year, then transfer to Federal Records Center. Destroy five (5) years after year cancelled or terminated.	NN-165-173, Item 2b. (1)(b)	
	(c) Reports having historical significance will be separated from the others when eligible for transfer to the Federal Records Center where they will be held until five (5) years after year cancelled or terminated, then offered to the National Archives.	NN-165-173, Item 2b. (1)(b) Exception	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(2) ~~Duplicates. Filed numerically in the appropriate area office by organization.~~ ~~Disposition. Cut off annually, hold five (5) years, then destroy.~~	NN-166-161, Item 3b. (2)	WITHDRAWN (see NC1-317-81-1)
	c. File of Labor Organizations Not Required to File. Includes correspondence and reporting forms (LM-1, LM-2, LM-3, or equivalent) received from labor organizations which within established precedent are not subject to requirements of the LMRDA. Disposition. Cut off annually, hold one (1) year, then destroy.	NN-166-161, Item 3c.	
	d. Labor Organization Reports Correspondence File. Contains letters, memoranda, and other records which relate to Forms LM-1, LM-2, LM-3, LM-15/15A, LM-16 or equivalent. Includes such subjects as reporting deficiencies and deliquencies; requests for extension of reporting deadlines; reports of financial audit; position papers on the reporting status of organizations; establishment and discontinuance of trusteeships; union constitution provisions; etc. All original correspondence is to be arranged numerically by organization number and filed in the disclosure file.		
	(1) Originals Disposition. (a) Remove correspondence files relating to terminated labor organizations from active files when labor organization is terminated, hold one (1) year, transfer to Federal Records Center, hold four (4) additional years, then destroy. (b) Files having historical significance will be separated from the others when eligible for transfer to the Federal Records Center where they will be held four (4) additional years, then offered to the National Archives.	NN-166-161, Item 3d. (1)(b)	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(2) ~~Duplicates.~~		WITHDRAWN (See NC1-317-81-1)
	~~Disposition.~~		
	~~(a) Active Labor Organization. Cut off annually, hold five (5) years, then destroy.~~	NN-166-161, Item 3d. (2)(a)	
	~~(b) Terminated Labor Organizations. Remove from active files, hold one (1) year, then destroy.~~	NN-166-161, Item 3d. (2)(b)	
	e. Employer Reports. Form LM-10 or equivalent; financial transaction forms completed in accordance with instructions in Form LM-10.		
	(1) Originals. File completed forms numerically according to type of form.	NN-165-173, Item 2c. (1)	
	Disposition. Cut off annually, hold five (5) years and transfer to the Federal Records Center, hold five (5) additional years, then destroy.		
	~~(2) Duplicates. Cut off annually, hold five (5) years, then destroy.~~	NN-166-161, Item 3e. (2)	WITHDRAWN (See NC1-317-81-1)
	f. Agreement and Activities Report. Form LM-20 or equivalent.		
	Disposition same as for Employer Reports, Item 2e(1) above.		
	g. Receipts and Disbursements Report. Form LM-21 or equivalent.		
	Disposition same as for Employer Reports, Item 2e(1) above.		
	h. Labor Organization Officer and Employee Report. Form LM-30 or equivalent.		
	Disposition same as for Employer Reports, Item 2e(1) above.		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3.	Statistics Operations		
	a. Data Processing and Statistics Procedure File. Plans, instructions, guides and other records used to control the machine and manual processing, reviewing and correcting of data reported under the LMRDA or data generated by related internal programs. Arranged alphabetically by subject of program.	NN-166-161, Item 5a.	
	Disposition. Remove from active files when related program is terminated, hold five (5) years, transfer to Federal Records Center, hold five (5) years, then destroy.		
	b. Data Processing Control File. Includes data input records (transmittal letters, transcription sheets, worksheets, extra copies of reports, etc.), and similar materials which are used to control, implement or document the results of established data processing and statistical systems. (Arrangement varies to suit operating needs.)		
	(1) Control and Input Data.		
	Disposition. Destroy upon verification of output data. (NOTE: Those records having additional documentary value, such as reports, will be governed by the disposal standards established herein which are specifically applicable to those records.)	NN-166-161, Item 5b. (1)	
	(2) Output Data.		
	Disposition. Remove from active files and destroy when data is published or when it is no longer needed for reference purposes.	NN-166-161, Item 5b. (2)(a) and (b)	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4.	Regulations and Administrative Rulings Operations.		
	a. Nonprecedent Interpretations and Rulings File. File consists of correspondence, memoranda, and other documents from individuals, groups and entities within and without the Department seeking information or raising questions concerning the requirements of LMRDA, and Section 7120 of the CSRA or the regulations issued thereunder, which are general in nature or for which a precedent exists, and the answer thereto. Arranged alphanumerically by the applicable subject and section of the Interpretative Manual. Disposition. Cut off annually, hold two (2) years, transfer to Federal Records Center, hold five (5) additional years, then destroy.	NN-166-161, Item 6a.	
	b. Regulations and Rulings File. File consists of correspondence, memoranda, and other documents initiating an inquiry concerning the LMRDA which results in the issuance of an opinion, interpretation, administrative ruling, regulation, or entry in the Interpretation, Manual, and all pertinent documents related to such issuance including a copy of the final resolution of the matter. Arranged alphanumerically by the applicable subject and section of the Interpretative Manual. Disposition. Remove from active files when material is no longer applicable or required for reference, transfer to Federal Records Center, hold 10 years, then destroy.	NN-166-161, Item 6b.	
	c. Exemption Petition File. Includes requests from persons and groups for exemption to the bonding requirements of the Acts; and resulting actions which either grant or deny the exemption. Filed numerically by Exemption Request (EXR) Case Number. Disposition. Remove from active Files when action is cancelled, hold two (2) years, transfer to Federal Records Center, hold three (3) additional years then destroy.	NN-166-161, Item 6c.	