

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-448-01-4</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>05/15/01</i>	
1. FROM (Agency or establishment) U. S. Department of Labor		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Employment Standards Administration			
3. MINOR SUBDIVISION Office of Management, Administration and Planning			
4. NAME OF PERSON WITH WHOM TO CONFER Dottie Chester	5. TELEPHONE 202-693-0296	DATE <i>3-13-02</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
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 15 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, X is not required; is attached; or has been requested.			
DATE <i>5/02/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Maureen Hill</i>	TITLE <i>Departmental Records Officer</i>	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

See Attached

CC: to Agency, NWMSA, NWMD, NWCTC, NWCS:3/13/02 *gld*

Office of Management, Administration and Planning *

DESCRIPTION

The Office of Management, Administration and Planning (OMAP), acts as support for the Employment Standards Administration (ESA), OMAP coordinates ESA's 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 program 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.

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 addressees. 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 inquiries includes a broad range of issues, such as requests for printed materials, policy guidance, administrative and personnel procedures, budgetary information, among others.

a. RECORD COPY.

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office. Destroy when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-92-1, Item 1 and N9-448-00-02, Item 25

2. OMAP Notices: 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.

a. RECORD COPY

DISPOSITION: Temporary. Hold file in office for 5 fiscal years. Break file at the end of the fiscal year. Retire to the Federal Records Center (FRC) when 5 fiscal years old. Destroy file when 10 fiscal years old.

* Revised schedule approved by ESA A.O. via email 12/11/01
Ray.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later..

Supersedes N1-448-92-1, Item 2 and N9-448-00-02, Item 26

3. Complaint Review Files: Copies of correspondence, memoranda, interview statements, reports of on-site reviews and findings, records of meetings, recommendations and other related records generated during OMAP Management reviews of office practices.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the calendar year. Maintain file in office. Destroy files 3 calendar years after completion of review and final action has been taken.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-97-1 and N1-448-00-02, Item 37

4. Internal Directives: Administrative directives in these files contain directives on a wide variety of administrative matters. These files contain draft material, comments from officials clearing the instructions, similar material and a copy of the original directive.

a. RECORD COPY

DISPOSITION: Temporary. Break files every 2 fiscal years. Maintain file in office. Transfer to FRC when 2 fiscal years old. Destroy when 10 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, Item 1

5. Significant Activities Report: Weekly report of important activities/accomplishments furnished to the OMAP Director from OMAP Division Branches.

a. RECORD COPY

DISPOSITION: Temporary. Maintain file in office. Destroy file when 1 fiscal year old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, Item 31 and N9-448-00-02, Item 10

DIVISION OF SUPPORT SERVICES

~~**6. Forms Files:** These files contain background information including previous versions of current administrative and program forms. The files are used for internal as well as interagency and public use forms.~~

File Scheme: By form number

Annual Rate of Growth: 1/5 cubic foot per year

Volume on hand: 15 cubic feet

*Covered by
G R 5 16 / Item 3*

~~a. RECORD COPY~~

~~DISPOSITION: Permanent. Maintain file in office. Transfer one copy of each obsolete form to NARA every 3 calendar years.~~

~~b. WORKING FILES. Information utilized to develop new or revised forms, which include requisitions, printing requests, etc.~~

~~DISPOSITION: Temporary. Maintain file in office. Destroy working file 3 years after related form becomes obsolete.~~

~~c. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.~~

~~DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.~~

~~Supersedes NC1 448 76 1, Item 3 and N9 448 00 02, Item 2~~

DIVISION OF INFORMATION TECHNOLOGY MANAGEMENT & SERVICES (DITMS)

7. 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 DITMS personnel have performed the role of COTR on a specific project in support of ESA programs.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of fiscal year. Maintain file in office. Destroy when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-92-1, item 30 and N9-448-00-02, item 34

8. ADP Systems Security. Correspondence, memoranda and other documentation pertaining to the security of ADP systems.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office. Destroy file when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-92-1, item 33 and N9-448-00-02, item 36

DIVISION OF HUMAN RESOURCES MANAGEMENT

9. ESA Organizational Files: 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.

File Scheme: By program name

Annual Rate of Growth: 1/8 cubic foot per year

Volume on hand: 2.5 cubic feet on hand

a. RECORD COPY

DISPOSITION: PERMANENT. Break file at the end of fiscal year. Maintain file in office. Transfer file to FRC when 3 fiscal years old. Transfer file to the NARA when 20 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-92-1, Item 26 b and N9-448-00-02, Item 30

10. ESA Mission and Function 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.

File Scheme: By program name

Annual Rate of Growth: 1/8 cubic foot per year

Volume on hand: 2.5 Cubic feet on hand

a. RECORD COPY

DISPOSITION: Permanent. Break file at the end of fiscal year. Maintain file in office. Retire file to FRC when 3 fiscal years old. Transfer file to NARA when 20 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-92-1, Item 26 c and N9-448-00-02, Item 30

DIVISION OF LEGISLATIVE AND REGULATORY ANALYSIS (DLRA)

11. Legislative Program for ESA: An annual document discussing legislation, which is desired by ESA and legislation which would impact, on the ESA program. This record is submitted to the Department and becomes input into the Department's report to OMB.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the calendar year. Maintain file in office. Destroy when 15 calendar years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, Item 39 and N9-448-00-02, Item 11

12. History of Legislation: Ongoing histories of Employment Standards legislation and all amendments.

File Scheme: By subject and year

Annual Rate of Growth: 1/4 cubic foot per year

Volume on hand: 1 Cubic foot on hand

a. RECORD COPY

DISPOSITION: Permanent. Break file at the end of the calendar year. Maintain file in office. Transfer file to NARA when 25 calendar years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, Item 40 and N9-448-00-02, Item 12

13. Analysis of Legislation: Bill comments including correspondence, memoranda, and reports analyzing legislation under consideration.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the calendar year. Maintain file in office. Destroy when 13 calendar years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, Item 41 and N9-448-00-02, Item 13 and 14.

14. Briefing Books: Briefing books are assembled for congressional hearings. These books contain background information to assist the agency individual (primarily the Assistant Secretary for ESA, or heads of ESA programs) testifying at a congressional hearing. These books contain, among other things, the invitation, the testimony, talking points, background materials on the subject area or bill being discussed, a list of Committee members and their biographies and Questions and Answers.

File Scheme: By subject

Annual Rate of Growth: Less than 1 cubic foot per year

Volume on hand: 12 Cubic feet.

DISPOSITION: Permanent

a. 1978 to 1988:

DISPOSITION; PERMANENT. Immediately transfer to NARA

b. 1989 to present:

DISPOSITION; PERMANENT. Cutoff file after official testifies before Congress. Retain on site for 15 calendar years. Transfer briefing books to NARA 15 calendar years after cutoff.

c. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-98-1, Item 1 and N9-448-00-02, Item 38

OFFICE OF PUBLIC AFFAIRS

15. Sound Recordings

The original recording or earliest generation (on tape or CD-R) plus a duplicate copy for each.

File Scheme: By subject

Annual Rate of Growth: 1 tape per year

Volume on hand: 0 Cubic feet on hand

DISPOSITION: Permanent. Break file every five calendar years. Transfer entire 5 year block to NARA when administrative use is no longer needed, or when most recent record in the block is 5 years old, whichever occurs first. See 36 CFR 266, C1 & 2 for record elements for transfer

Supersedes NC1-448-771-1, Item 2a

16. Video Recordings:

The original recording or earliest generation of the recording and one duplicate copy used to promote ESA programs and to inform employers and employees about their rights and responsibilities under these programs.

File Scheme: By subject.

Annual Rate of Growth: 1/8 cubic foot per year

Volume on hand: 0 Cubic feet on hand

DISPOSITION: Permanent. Break file every five calendar years. Transfer entire 5 year block to NARA when administrative use is no longer needed, or when most recent record in the block is 5 years old, whichever occurs first. See 36 CFR 266, D1 & 2 for record elements for transfer.

Supersedes NC1-448-77-1, Item 2b

17. Sound and Video Project Case Files:

Documentation accumulated in the preparation and production of items identified in (15) and (16), including scripts and releases.

File Scheme: By subject

Annual Rate of Growth: 2 inches per year

Volume on hand: 1 inch on hand

DISPOSITION: Permanent. . Break file every five calendar years. Transfer entire 5 year block to NARA when administrative use is no longer needed, or when most recent record in the block is 5 years old, whichever occurs first. See 36 CFR 266, E1 & 2 for record elements for transfer.

Supersedes NC1-448-77-1, Item 2c

18. Still Pictures: Still photographs depicting substantive ESA activities, procedures, programmatic responsibilities and developments, and individuals representing ESA.

File Scheme: By name

Annual Rate of Growth: 5 pictures per year

Volume on hand: 1 /4 Cubic foot on hand

DISPOSITION: Permanent. . Break file every five calendar years. Transfer entire 5 year block to NARA when administrative use is no longer needed, or when most recent record in the block is 5 years old, whichever occurs first. See 36 CFR 266, G1 & 2 for record elements for transfer.

Supersedes NC1-448-77-1, Item 3

19. Information Releases: The complete set of formal press releases originating in ESA.

File Scheme: By Agency/Topic

Annual Rate of Growth: 12 cubic foot per year

Volume on hand: 12 Cubic feet on hand

a. RECORD COPY

DISPOSITION: Permanent. Break file at the end of the calendar year. Maintain file in office. Transfer to the Federal Records Center when six calendar years old. Transfer to NARA when 10 calendar years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-77-1, Item 4a and N9-448-00-02, Item 23

20. Biographical Data: Background descriptions of individuals employed by the Agency in management positions.

a. For Program Heads and above:

File Scheme: By name

Annual Rate of Growth: 5. biographies per year

Volume on hand: One Folder

a. DISPOSITION: Permanent. Hold file in office for 2 calendar years after individual has terminated employment with the Agency then transfer to NARA.

b. All other biographies:

DISPOSITION: Temporary: Break file at the end of the calendar year. Maintain file in office. Destroy file when no longer needed after employee's termination.

c. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

DIVISION OF FINANCIAL MANAGEMENT

BRANCH OF MANAGEMENT REVIEW & INTERNAL CONTROLS

21. Plain Language Implementation: Records of ESA efforts to implement the White House initiative to bring clarity and brevity to Federal government's written documents.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of each fiscal year. Maintain file in office. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

22. Continuity of Government (Shutdown Plans): Files contain contingency plans for the suspension of agency operations in the absence of funding.

a. RECORD COPY

DISPOSITION: Temporary. Break files at the end of the fiscal year. Maintain file in office. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

23. Reports on agency assistance to Historically Black Colleges and Universities, Hispanic-Serving Institutions, Tribal Colleges and Universities and Asian American and Pacific Islanders: Files contain information on planned and actual financial assistance to these institutions in accordance with Executive Order directives.

a. RECORD COPY

DISPOSITION: Temporary. Break file at end of the fiscal year. Maintain file in office for 5 fiscal years. Destroy file when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

24. Management Studies and Initiatives: Files contain studies, Accountability Review Reports, along with associated documentation such as Memoranda, notices, responses to

OMB inquiries concerning A-76 studies, etc; and records of ESA input into a variety of management improvement and cost reduction initiatives.

a. RECORD COPY

DISPOSITION: Temporary. Break file at end of the fiscal year. Maintain file in office. Retire to FRC when 4 fiscal years old. Destroy when 7 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

25. Paperwork Clearance: Files contain official ESA records supporting justification pertaining to requests for and approvals (OMB Notice of Actions) of information collections (agency public use forms) are renewed annually or more frequently in accordance with the Paperwork Reduction Act.

a. RECORD COPY

DISPOSITION: Temporary. Break file at end of the fiscal year. Maintain file in office for 6 fiscal years. Destroy file when 6 fiscal years old unless documentation relates to an active report. If it relates to an active report, keep as long as needed, then destroy.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

26. Administrative Reports for Tort Litigation. Files contain documents involving claimants seeking damages from the United States under the (DOL/ESA) Federal Torts Claim Act.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office for 5 fiscal years. Destroy file when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

27. Consolidated Financial Statement (CFO) Performance Measures Narratives:

Files contain yearly performance measures' discussion for incorporation into the DOL accountability report, as well as CFO audit reports on ESA financial activities during the fiscal year.

a. RECORD COPY

DISPOSITION: Temporary. Break file at end of fiscal year. Maintain file in office for 3 fiscal years. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

28. I-9 Inspections Data Reports: Files contain ESA statistical data reports on the enforcement of employer sanctions provisions of the Immigration and Nationality Act (INA), Section 274A to prevent employment of authorized alien workers.

a. RECORD COPY

DISPOSITION: Temporary. Break file at end of the fiscal year. Maintain file in office. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

29. Customer Service/Reinvention: Files contain information and documentation pertaining to implementing customer satisfaction requirements in accordance with Executive Order mandates.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

30. Westlaw On-Line Research Documents: Files contain obligational authority documents for the ESA fiscal year portion of DOL services contract, invoices of undiscounted Costs, and other service documents.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office. Destroy file when 3 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

31. Management Surveys and Studies: Internal management control reports, vulnerability assessments, internal control reviews and surveys on a wide variety of management analyses.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of fiscal year. Maintain file in office. Retire file to FRC when 5 fiscal years old. Destroy file when 9 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-92-1, Item 27 and N9-448-00-02, Item 31

32. 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.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain in office. Retire file to FRC when 5 fiscal years old. Destroy file when 9 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes N1-448-92-1, Item 28 and N9-448-00-02, Item 20 and 32

33. ESA Complaint Investigations. Complaint files pertaining to cases generated by unsolicited assertions of waste, fraud or abuse, which is not criminal in nature. These complains are received via telephone or written contact from the general public or referrals from the Office of the Inspector General (OIG). Criminal or potentially criminal matters are referred to the OIG.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain case files in office for 5 years after the case is closed. Destroy file when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NCI-448-92-1, Item 29 and N1-448-00-02, Item 33

34. ESA Employee Conduct Investigations. Complaint files generated by unsolicited assertions of misconduct on the part of ESA employees. These complaints are received in a variety of ways from other DOL employees or from the general public. Criminal matters are referred to the Office of Inspector General (OIG), but duplicate or partial files may be maintained in ESA.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain case files in office for 3 fiscal years after the case is closed. Destroy file 3 fiscal years after closure.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NCI-448-92-1, Item 29 and N1-448-00-02, Item 33

BRANCH OF ACCOUNTING AND FINANCIAL SYSTEMS (BAFS)

35. FECA Financial Management and Chargeback Files: Files consist of agency chargeback billing history and payment status.

a. RECORD COPY

DISPOSITION: Temporary. Break files at the end of the fiscal year. Maintain file in office for 6 years and 3 months following close of fiscal year involved. Destroy files when 6 years and 3 months old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-82-1, Item 2 and N9-448-00-02, Item 24

36. Longshore/DCCA Investment Files. Files consist of investment history and current portfolio for the Longshore/DCCA account.

a. RECORD COPY

DISPOSITION: Temporary. Break files at the end of the fiscal year. Maintain file in office for 6 years and 3 months following close of fiscal year involved. Destroy file when 6 years and 3 months old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

37. Backwage and Disbursement and Deposit Files. Documentation, receipts, ledgers and supporting materials pertaining to the collection and disbursement of backwages.

File Scheme: By Fiscal Year

Annual Rate of Growth: ½ Cubic Foot

Volume on hand: 22 Cubic Feet

a. RECORD COPY

DISPOSITION: Temporary. Break files at the end of the fiscal year. Maintain file in office for 6 years and 3 months following close of fiscal year involved. Destroy file when 6 years and 3 months old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

38. Black Lung Financial Management Files. Documentation pertaining to the financial management of Black Lung program trust fund.

File Scheme: By Fiscal Year

Annual Rate of Growth: 1 ½ Cubic Feet

Volume on hand: 4 ½ Cubic Feet

a. RECORD COPY

DISPOSITION: Temporary. Break files at the end of the fiscal year. Maintain file in office for 6 years and 3 months following close of fiscal year involved. Destroy file when 6 years and 3 months old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

BRANCH OF BUDGET FORMULATION AND IMPLEMENTATION (BBFI)

39. Questions and Answer papers submitted to Congress. Congressional questions and answers that come from Appropriation hearings and submitted to Congress via the Department.

a. RECORD COPY

DISPOSITION: Temporary. Cut off files at the end of the fiscal year. Maintain in office for 5 years. Destroy 5 years after cut off.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, item 41 and N9-448-00-02, item 16

40. Accountability Review Reports. Reports concerning whether ESA program offices have been in conformance with ESA fiscal and other procedures.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the calendar year. Maintain file in office. Transfer file to FRC when 4 calendar years old. Destroy file when 7 calendar years old.

b. ELECTRONIC VERSION OF RECORDS: Created by the electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.

Supersedes NC1-448-76-1, item 44 and N9-448-00-02, item 19

DIVISION OF STRATEGIC PLANNING AND PROGRAM EVALUATION

41. Strategic Planning and Program Evaluation Files. Reports and related correspondence, memorandums, and other documents created in coordinating, developing and issuing the agency's strategic plans, annual performance plans, annual performance reports, and program evaluation.

a. RECORD COPY

DISPOSITION: Temporary. Break file at the end of the fiscal year. Maintain file in office. Destroy file when 5 fiscal years old.

b. ELECTRONIC VERSION OF RECORDS. Created by electronic mail and word processing applications.

DISPOSITION: Delete when file copy is generated or when no longer needed for reference, updating, distribution, or electronic distribution, whichever is later.