

REQUEST FOR RECORDS DISPOSITION AUTHORITY	JOB NUMBER <i>N1-025-99-1</i>
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To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	DATE RECEIVED <i>8-2-99</i>
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1. FROM (Agency or establishment) National Labor Relations Board 1099 14 th Street, NW Washington, DC 20570	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disposition request, including amendments, is approved except for items that may be marked disposition not approved or withdrawn in column 10.		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 Office of the Inspector General			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Nancy G. Miller, Chief Records Management Section	5. TELEPHONE 202-273-2833	DATE	ARCHIVIST OF THE UNITED STATES

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 3 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,

is not required; is attached; or has been requested.

DATE July 30, 1999	SIGNATURE OF AGENCY REPRESENTATIVE Nancy G. Miller <i>Nancy G. Miller</i>	TITLE NLRB Records Officer
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7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
202-07	<p>(See attached copy of current schedule)</p> <p>This schedule has been prepared using guidelines sent by NARA to agency Inspectors General for use in replacing dispositions which relied heavily on General Record Schedule 22.</p> <p>Two old items, 202-08 and 202-09, were folded into new items on the proposed schedule, and the entire Inspector General's schedule was rewritten.</p> <p>Audit and Inspection Files.</p> <p>a. Case files for recurring program evaluations that assist management in identifying, analyzing and resolving program and organizational</p>	<p><i>Entire schedule withdrawn by agency on April 19, 2000.</i></p>	

agency

performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. During the course of an evaluation, work files (which can include survey questionnaires, rough draft proposals and correspondence) are used to prepare the final recommendations and report. A concise final report is incorporated, along with the work files, into the case file on completion of each evaluation/study/initiative.

Cut off at the end of fiscal year in which audit is closed or inspection report is issued. Destroy 8 years after cutoff.

b. Electronic mail and word processing records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

(1) Copies of records covered by subitem that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

NC1-25-81-1-203-08
GRS 16, Item 2a, 6/88

202-08 Not used.

NC1-25-81-1-203-09

202-09 Not used.

NC1-25-81-1-203-10

202-10 **Investigative Files.**

- a. Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

Case files have significant value because the case:

Subject is a senior agency official;
 Attracts substantial national/regional media, or congressional attention;
 Results in substantive changes in agency policies and procedures; or
 Has potential historical significance.

PERMANENT. Cut off closed cases annually. Transfer to the National Archives of the United States 25 years after cutoff.

- b. All other investigative case files not covered by item a.

Cut off closed cases annually. Destroy 10 years after cutoff.

- c. Files containing information or allegations that do not result in conduct of an investigation or establishment of a formal case file. The files include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information, which may prove useful in Inspector General investigations.

Cut off for all cases by fiscal year. Destroy 5 years after closing.

d. Electronic mail and word processing records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

(1) Copies of records covered by subitems a-b that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

NC-1-25-81-203-11

APPENDIX I - NLRB RECORDS DISPOSITION STANDARDS

CHAPTER 2. PLANNING AND MANAGEMENT RECORDS

Standard Number / Records Description	Disposal Instructions / Authority
<p>202-07 Audit Case Files. Documents accumulated in the coordination of GAO audits of NLRB operations and in the internal review and examination of NLRB operations by NLRB auditors to ensure accuracy, propriety, legality, and reliability of the use of assets. Included are communications about scheduled audits, draft and final audit reports, responses, comments, and recommendations, reports on corrective actions planned and taken, and directly related papers. Arranged by subject.</p>	<p>Cut off at close of fiscal year in which audit is completed. Retire to FRC 4 years after cutoff. Destroy 8 years after cutoff. GRS 22, Item 2.</p>
<p>202-08 Audit Working Files. Documents created or accumulated in the collection of data for or during an internal or GAO audit. Included are notes, statistical data, feeder reports, and other working papers.</p>	<p>Cut off at close of fiscal year in which audit is completed. Destroy when no longer needed for reference or 3 years after completion of all action on audit report.</p>
<p>202-09 Working Paper Files. Project background records such as studies, analysis, notes, drafts, and interim reports.</p>	<p>Destroy 6 months after final action on project report or 3 years after completion of report, if no final action is taken.</p>
<p>202-10 Investigative Case Files. Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.</p>	
<p>a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General Investigations.</p>	<p>Destroy when 5 years old. GRS 22, Item 1.</p>
<p>b. All other investigative case files.</p>	<p>Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. GRS 22, Item 1b.</p>