

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER	71-174-06-1
1 FROM (Agency or establishment) Department of Labor		Date Received	7-6-05
2 MAJOR SUB DIVISION Office of the Secretary of Labor		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Office of the Assistant Secretary for Policy (OASP)		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Betty Cooper	5 TELEPHONE (202) 693-6469	DATE 2/13/09	ARCHIVIST OF THE UNITED STATES <i>Adrienne Shomer</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 _____ page(s) are not needed now 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 6/20/05	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Records Officer		TITLE
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Please see attached.		

▼

**U.S. Department of Labor**  
**Office of the Assistant Secretary for Policy (OASP)**

The Office of the Assistant Secretary for Policy (OASP) provides advice and assistance to the Secretary and Deputy Secretary in a number of areas, including policy development, regulations, program implementation, compliance assistance strategies, program evaluations, research, budget and performance analysis, and legislation

OASP also provides analytical support to the Secretary, Deputy Secretary, and Policy Planning Board with respect to policy issues and trends which require economic analyses or other expertise, including analysis of issues in the macroeconomic and microeconomic policy areas and preparing recommendations and analyses with respect to long – and short-term economic trends, preparation of economic studies and analyses related to the formulation of policy; and economic analyses relating to economic impact of Departmental policies, regulations, and programs on general administration policy within the United States

**NOTE: These disposition instructions apply to all the described records regardless of physical media, except as specifically noted.**

1. **General Correspondence Files**. Correspondence files of all types, arranged chronologically without regard to subject or content, used primarily as a reading or reference file.

**Temporary.** Maintained in the office. Cut off files at the end of the calendar year. Destroy 3 years after cut off

2. **Congressional Correspondence Files** Communications and correspondence received from and responded to members of Congress, Congressional Committees, and the White House. These files are related to a variety of inquiries about Department of Labor programs, policies, and legislative proposals.

**Temporary.** Maintained in the office. Cut off files at the end of the calendar year. Destroy three years after cut off

3. **Grant Files** Background data and correspondence regarding grant awards, such as requests for grants, proposed project descriptions, status reports, deliverable products, and financial reports on advances and expenditures.

- a. Background data and correspondence regarding grant awards, such as requests for grants, proposed project descriptions, status reports, etc:

**Temporary** (except deliverable products). Maintained in the office. Cut off files at the end of the calendar year in which grant ends  
Destroy three years after cut off.

b Deliverable Products:

**Permanent** Cut off files at the end of the calendar year in which contract or project ends. Maintain in the office for internal reference for five years after cut off. Transfer to the National Archives after five-year internal reference period

4. **Policy Review Coordinating Committee (PRCC) and Policy Review Board (PRB) Reading Files.** Minutes of PRCC and PPB meetings; policy review staffing memos requesting agency approval of regulatory proposals and amendments to rules; supporting documents, including text from the Code of Federal Regulation, legislative history and summary of public comments; policy documents, including discussion of issues, alternatives considered and recommendations

The documents are bound in one hundred accordion binders, arranged chronologically. There are 21 PRCC binders, beginning in December 1982 and ending in December 1985, and 79 PRB binders, beginning in January 1986 and ending in October 1992.

**Permanent** Convert hard copy files to PDF files. Retain PDF copies in office until no longer needed for internal reference use. Transfer hardcopy records to NARA upon completion of conversion process. Thereafter, cut-off records at end of year produced. Maintain in office for 15 years. Transfer to the National Archives 15 years after cut-off. If agency decides to designate the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270

5. **Policy Planning Board (PPB) Files** The Department of Labor's Policy Planning Board (PPB) coordinates approval of proposed regulations and amendments to rules. Files generated include agency memos requesting approval of regulatory proposals and amendments to rules; the proposed regulations and rule amendments themselves; OASP briefing memos on issues to be discussed at PPB meetings, decision memos to the Secretary and meeting minutes. Except for the OASP briefing memos, which are stored electronically on OASP's O drive, all other PPB files are posted to the PPB Web site. In all, approximately 36 files are generated per month

**Permanent** Transfer to National Archives as PDF records in accordance to NARA PDF Transfer Specifications one year following the change in Administration

6. **Program and Policy Files.** Memoranda, analyst working files, and background materials on program, regulatory and legislative matters.

**Temporary.** Maintained in the office. Close file upon completion of activity. Cut off closed files at the end of the calendar year. Destroy 3 years after cut off, unless matter is ongoing.

7. **Research Reports.** Research reports done under grant or contract as task orders or deliverables
- Permanent.** Filed chronologically by year. Annual rate of accumulation is approximately ½ cubic foot, depending on level of research conducted. Close reports file. Cut-off files at end of year. Transfer one copy to National Archives every 5 years, e.g., 2000 – 2004 is transferred to the National Archives in 2008 2005 – 2009 is transferred to the National Archives in 2010. If agency decides to designate the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270
8. **Background Policy Papers and Special Reports to Congress.**  
Periodically, the Office of the Assistant Secretary for Policy provides reports to the Office of Management and Budget (OMB), Congress and other entities. Examples include the DOL portion of OMB's annual report to Congress on agency implementation of the Unfunded Mandates Reform Act of 1995. Occasionally, formal reports or background papers are provided to the White House, the Secretary, the Assistant Secretary or other senior officials.
- Temporary.** Maintained in the office. Close files upon completion of activity. Cut off closed files at the end of the calendar year. Destroy 10 years after cut off
9. **Publications.** Occasionally, the Office of the Assistant Secretary for Policy produces hardbound books and reports at the request of the Secretary for Labor. Examples include Future Work Trends and Challenges for Work in the 21<sup>st</sup> Century and Telework
- a **Record-keeping Copy:**
- Permanent.** Filed chronologically by year. Transfer one copy to National Archives every 5 years, e.g , 2000 – 2004 is transferred to the National Archives in 2008. 2005 – 2009 are transferred to the National Archives in 2010, etc. If agency decides to make the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270
- b **Electronic copies created on word processing systems:**
- Temporary.** Retain on CD Rom in OASP in case future Administrations want to post to OASP's Web site or otherwise disseminate. Delete when no longer needed for reference, updating, distribution, or electronic dissemination, whichever is later.
10. **2000 Family and Medical Leave Act Employer and Employee Surveys.**
- a. **Administrative Subject Files.** Files include cost status reports, copies of the final report, invoice copies, progress reports, paperwork reduction act submission, paperwork delineating request for expedited paperwork

clearance, documentation on outreach efforts with Congress, academic and private industry constituencies

**Temporary.** Cut-off files at the end of calendar/fiscal year. Retain in office for 5 years, then transfer to the FRC or off-site facility. Destroy 10 years after cut-off

- b. **Survey Documentation Files.** Survey results documentation including the final report, copies of the questionnaires and related materials

**Permanent.** Transfer 1 copy of the Final Report and associated documentation to the National Archives upon approval of this schedule. If agency decides to make the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270.

## 11. **Chief Economists' Files**

- a. **White papers.** Papers and reports written by the Office of the Chief Economist.

**Permanent.** Cut-off publications at end of (calendar/fiscal year). Maintain cut-off publications in the office for 5 years after publication. Transfer two copies of each publication to the National Archives five years after cut-off, if available. If agency decides to make the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270

- b. **Memoranda.** Memoranda to the Secretary, Deputy Secretary, Assistant Secretaries, and White House personnel, providing economic analysis and policy recommendations.

**Permanent.** Cut-off files at end of calendar year. Maintain cut-off files in the office for 1 year following a change in Presidential Administration. Transfer cut-off-files to the National Archives one year after change in Presidential Administration. If agency decides to make the electronic version the official recordkeeping copy, transfer to NARA in accordance with 36 CFR 1228.270.

- c. **Subject Files.** Documents in files include data analysis, policy analysis, meeting notes, background materials, formal and informal Departmental discussion

**Temporary.** Maintain in the office for 1 year following a change in Presidential Administration. Then destroy files.



# *National Archives and Records Administration*

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8601 Adelphi Road  
College Park, Maryland 20740-6001

**Date:** December 1, 2008  
**Appraiser:** Jim Cassedy, NWML  
**Agency:** Department of Labor  
**Subject:** N1-174-06-1

## **INTRODUCTION**

The U.S. Department of Labor (DOL), Office of the Assistant Secretary for Policy, submits Job N1-174-06-1, for the records of that office. These records were reviewed in January 2008, with program officer Ms. Babette Williams.

### Background

The Office of the Assistant Secretary for Policy (OASP) was established in 1963, the original name was the Office of the Assistant Secretary for Policy, Planning and Research (ASPPR). This office replaced a small research and development unit headed by a Deputy Assistant Secretary, which had carried out long-range research and evaluation studies since 1956.

The Office of the Assistant Secretary for Policy (OASP) provides advice and assistance to the Secretary and Deputy Secretary in a number of areas, including policy development, regulations, program implementation, compliance assistance strategies, program evaluations, research, budget and performance analysis, and legislation.

OASP also provides analytical support to the Secretary, Deputy Secretary, and Policy Planning Board with respect to policy issues and trends which require economic analyses or other expertise, including analysis of issues in the macroeconomic and microeconomic policy areas and preparing recommendations and analyses with respect to long – and short-term economic trends; preparation of economic studies and analyses related to the formulation of policy; and economic analyses relating to economic impact of Departmental policies, regulations, and programs on general administration policy within the United States.<sup>1</sup>

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<sup>1</sup> <http://www.dol.gov/asp/>, December 1, 2008

## **The Records**

### **Item 1: General Correspondence Files**

This series contains mainly housekeeping and common administrative records such as replies concerning general issues, office supply activities, etc. The chronological arrangement of these files lends the series to be a reading or reference file. Substantial correspondence will be found elsewhere.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Chronological reference copy

\*Has little or no research value

\*Does not document significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\*Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

### **Item 2: Congressional Correspondence Files**

The bulk of this series of records is concerned with Congressional correspondence concerning individual cases related to the H2-A agricultural nonimmigrant worker program. These records do not have long term research value, as they concern typical Congressional correspondence related to mundane immigration matters on individuals seeking assistance in getting H-2A employees for farmers. Congressional correspondence of high level, historical importance, will be located in the Office of the Secretary of Labor.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Has little or no research value.

\*High level correspondence located in the Office of the Secretary of Labor.

\*Does not document significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

### **Item 3: Grant Files**

#### **a. Record-keeping copy (Except for Deliverable Products)**

This series includes miscellaneous records documenting the grant making process, including applications, status reports, approvals and disapprovals, etc. These records are closely related to GRS 3, items 13 and 14 for unsuccessful grants and grant administrative case files. The final deliverable products resulting from successful grants are scheduled as permanent.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Has little or no research value.

\*Does not document significant actions of Federal officials

- \*Closely related to the GRS 3, items 13 and 14
- \*Final deliverable products scheduled as permanent

**Adequacy of Proposed Retention Period(s):**

- \* Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

**b. Record-keeping copy of Deliverable Products**

This series of records are the deliverable products or reports resulting from DOL OASP grant making activities.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

- \*Documents research activities of the Department of Labor.
- \*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

- \* Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 4: Policy Review Coordinating Committee (PRCC) and Policy Review Board (PRB)**

**Reading Files**

In 1982, under DOL Secretary Ray Donovan, the name of OASP was changed to Assistant Secretary for Policy (ASP) and was restructured and down-sized. The basic focus was narrowed to quantitative economic and policy analysis for the Secretary. The Policy Review Coordinating Committee reviewed policy proposals presented by lower echelon units, and worked closely with the Secretary on policy issues. When William Brock became Secretary of Labor in 1985 he ordered a review of the Department's policy making process which led to the establishment of the Policy Review Board (PRB). The PRB served as the Secretary's primary advisory body on all major policy areas, with special emphasis on regulatory issues. The Under Secretary, the Solicitor, and the Assistant Secretaries served as members. Staff support of the PRB became the primary activity of OASP. Beginning in 1993, under Secretary Robert Reich, the PRB process was discontinued and the Office assumed major roles in forming Department-wide policy teams, planning the Departmental budget, developing labor legislation, and facilitating the regulatory and enforcement process.<sup>2</sup>

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

- \*Contains high level information on the development of Department of Labor policy.
- \*Documents significant actions of Federal officials.
- \*High potential research value.

**Adequacy of Proposed Retention Period(s):**

- \* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

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<sup>2</sup> <http://www.dol.gov/asp/aboutasp/history.htm>, December 1, 2008

### **Item 5: Policy Planning Board Files**

By a June 2001 memorandum, the Secretary of Labor created the PPB in order to ensure that major Departmental or Agency policy initiatives, and initiatives that cut across agency lines or require interdepartmental coordination, are fully considered by the appropriate DOL agencies, that such initiatives are consistent with Department and Administration policy and that implementation of policies is coherent and responsible.<sup>3</sup>

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*High potential research value

\*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

### **Item 6: Program and Policy Files**

This series of records is consists of working files and background material on program, regulatory and legislative matters. Much of this material consists of copies of other record series, scheduled elsewhere.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Contains copies of records found elsewhere.

\*High level correspondence located in other series such as items four and five noted above

\*Does not document significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

### **7: Research Reports**

This series of records are the recordkeeping copies of final reports emanating from OASP. They are similar to final deliverables listed in item 3b, but are formal reports on the labor situation within the United States.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Documents research activities of the Department of Labor.

\*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

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<sup>3</sup> Federal Register, July 25, 2006, Part V, Department of Labor. Located at <http://edocket.access.gpo.gov/2006/pdf/06-6446.pdf>, December 1, 2008

**Item 8: Background Policy Papers and Special Reports to Congress**

This series of records consists of office copies and working files providing background on reports made to the Office of Management and Budget, Congress, and occasionally the White House. The record copy of these records will be found at higher level series, such as the Secretary's office, as part of OMB reports, and elsewhere, such as series three and seven, noted above

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Contains copies of records found elsewhere

\*High level correspondence located in other series such as OMB, the Secretary of Labor, and other entities.

\*Does not document significant actions of Federal officials

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 9a: Publications**

This series of records are the recordkeeping copies of final publications emanating from OASP.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Documents research activities of the Department of Labor.

\*Documents significant actions of Federal officials

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 9b: Electronic copies created on word processing systems**

This series of records are copies of the recordkeeping copy of publications, retained for convenience if the publications are to be "published" on the agency's web site, or for other convenience of reference purposes.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Contains copies of records found elsewhere

\*Recordkeeping copies are scheduled as permanent

**Media Neutrality:** Not Requested.

## **Item 10: 2000 Family Leave and Medical Act Employer and Employee Surveys**

### **a. Administrative Subject Files**

This series includes miscellaneous records documenting the survey process, including cost status reports, extra copies of the final report, progress reports, paperwork reduction submissions, and other administrative background support material related to the Survey Report and documentation scheduled as permanent.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Has relatively little or no research value.

\*Does not document significant actions of Federal officials.

\*Final reports and documentation scheduled as permanent.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability

**Media Neutrality:** Approved

### **b. Survey Documentation Files**

This series of records are the final products and supporting material related to the 2000 Family Leave and Medical Act Employer and Employee Surveys.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Documents research activities of the Department of Labor

\*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

## **Item 11: Chief Economists' Files**

The Office of Chief Economist implements, manages, and coordinates Department of Labor economic policy, research and analysis within OASP. Secretary Robert Reich appointed Dr. Lawrence Katz, a Harvard University professor and economic adviser to the Clinton campaign, to become the first "chief economist" in the Department of Labor (DOL) in 1993. The Office of the Chief Economist was placed in OASP in 2001<sup>4</sup>

### **a. White Papers.**

This series of records are the "final products" of this office, providing background information upon which OASP makes recommendations, and upon which the Secretary of Labor often bases her final decisions.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Documents research activities of the Department of Labor.

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<sup>4</sup> See Kletner, Morris, "Labor Economists Go to Washington: Evolution of the Chief Economist's Post at the Department of Labor," and Holzer, Harry J., "Careful Analysis in the World of 'Spin' My Term as Chief Economist," in *Perspectives on Work*, June 2002. Located at [www.press.uillinois.edu/journals/irra/POW\\_062.pdf](http://www.press.uillinois.edu/journals/irra/POW_062.pdf), November 27, 2008

\*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

**b. Memoranda.**

Formal memoranda to the Secretary, Deputy Secretary, Assistant Secretaries, and White House personnel, providing economic analysis and policy recommendations.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Documents research activities of the Department of Labor.

\*Documents significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

**c. Subject Files**

This series includes miscellaneous records documenting the process of writing white papers, including extra copies of the final reports and memorandum, progress reports, formal and informal discussion notes, and other administrative background support material related to the White Papers and Memorandum scheduled as permanent. Lack of organization precludes effective use of these files.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Has relatively little or no research value.

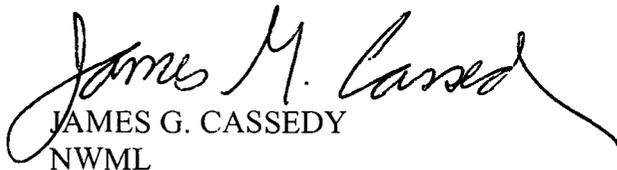
\*Does not document significant actions of Federal officials.

\*White Papers and Memoranda scheduled as permanent.

**Adequacy of Proposed Retention Period(s):**

\* Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

  
JAMES G. CASSEDY  
NWML