

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-317-01-2</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>4-9-01</i>	
1. FROM (Agency or establishment)  U. S. Department of Labor		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Labor-Management Standards			
3 MINOR SUBDIVISION  Labor-Management Reporting and Disclosure Act			
4 NAME OF PERSON WITH WHOM TO CONFER  Ed Hilz	5 TELEPHONE  202-693-1215	DATE	ARCHIVIST OF THE UNITED STATES  <b>WITHDRAWN</b>
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 9 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 5 of the GAO manual for Guidance of Federal Agencies. X is not required:                      is attached: or                      has been requested.			
DATE <i>4/4/01</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 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)

The Office of Labor-Management Standards (OLMS) provides for the administration and enforcement of the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA), Section 7120 of the Civil Service Reform Act of 1978 (CSRA), Section 1017 of the Foreign Service Act (FSA), and Section 1209 of the Postal Reorganization Act (PRA). In performing these functions, reports from labor organizations, union officers and employees, employers and labor relations consultants are examined for compliance with the statutes and regulations. Investigations are conducted of complaints alleging violations of the law or where evidence exists of willful violation. Supervision is provided for rerun elections of union officials held under court order or waiver.

July 9, 2002

Mr. Patrick Pizzella  
Assistant Secretary for Administration and Management  
U. S. Department of Labor  
Room S2203  
200 Constitution Avenue, NW  
Washington, DC 20210

Dear Mr. Pizzella:

This letter is to notify you that all current, uncompleted Department of Labor (DOL) record disposition requests submitted to the National Archives and Records Administration (NARA) are being withdrawn and returned to DOL. These disposition requests have not been approved by the Archivist of the United States and may not be applied to DOL records.

These disposition requests, listed by their NARA issued job number, are:

N1-174-01-02 Veterans Employment and Training Service Comprehensive Schedule  
N1-174-01-03 Office of the Solicitor Comprehensive Schedule  
N1-174-01-04 Office of Small Business Programs, Office of the Secretary records  
N1-174-02-01 Bureau of International Labor Affairs Comprehensive Schedule  
N1-317-97-01 Pension and Welfare Benefits Administration, Legal opinion, technical and regulation files  
N1-317-01-01 Pension and Welfare Benefits Administration, ERISA and EFAST records  
N1-317-01-02 Office of Labor Management Standards, LMRDA records  
N1-448-01-05 Office of the Assistant Secretary for Employment Standards, Subject and chronological files  
N1-448-02-02 Office of Workers' Compensation Programs Comprehensive Schedule

These requests are being withdrawn because DOL does not currently have a records officer with whom we can work to address the issues involved in processing these disposition requests. Without full and prompt responses from the requesting agencies, we are unable to review these requests in a timely and efficient manner. Once a new records officer has been appointed and NARA notified, in accordance with 36 CFR 1220.40, these requests may be resubmitted and we will be happy to work with that person to process them.

## LMRDA Records Schedule

### 1. LABOR ORGANIZATION REPORTS (OLMS National Office)

Includes initial Form LM-1 (Labor Organization Information Report), amended Form LM-1s, Form LM-1As (filed prior to December 31, 1994 when Form LM-1A was eliminated), labor organization constitution and bylaws, labor organization annual financial reports (Forms LM-2, LM-3, and LM-4), labor organization trusteeship reports (Forms LM-15, LM-15A, LM-16, and LM-6 (filed prior to 1997 when Form LM-6 was eliminated)), and attachments filed with the reports.

#### A. Active Filers

##### 1. Filed before 1990

Temporary. Initial Form LM-1, latest constitution and bylaws, and latest applicable amended Form(s) LM-1 and/or LM-1A, if any, retained in OLMS National Office. Other reports retired to FRC. Destroy in January 2009.

##### 2. Filed on or after January 1, 1990

Temporary. Retain initial Form LM-1, latest constitution and bylaws, and latest applicable amended Form(s) LM-1 and/or LM-1A, if any, in OLMS National Office. Cut off reports in five-year blocks. Retire to the FRC in five-year blocks, 10 years after cutoff. Destroy 15 years after cutoff.

#### B. Terminated Filers

##### 1. Terminated Prior to 1995

Temporary. Retired to the FRC. Destroy in January 2009.

##### 2. Terminated on or after January 1, 1995

Temporary. Cut off after termination. Retire to the FRC 3 years after cutoff. Destroy 15 years after cutoff.

(Supersedes N1-317-99-1 item 1)

WITHDRAWN

## **2. INTERNATIONAL LABOR ORGANIZATION REPORTS (OLMS National Office)**

Includes records described under item 1 maintained for large international labor organizations.

File Scheme: By assigned file number  
Volume On Hand: 400 cubic feet  
Annual Accumulation: 15 cubic feet  
Inclusive Dates: 1960 to present

### Textual Records

PERMANENT. Transfer to National Archives 20 years after the termination of the labor organization.

(Supersedes N1-317-89-1, item 2)

## **3. LABOR ORGANIZATION REPORTS CORRESPONDENCE (OLMS National Office)**

Copies of incoming and outgoing letters, memoranda, and other records relating to Forms LM-1, LM-2, LM-3, LM-4, LM-15, LM-15A, LM-16, or equivalent, which are transferred to appropriate LM reports files. Correspondence is subsequently removed from LM reports files prior to records disposal.

### A. Textual Records

Temporary. Destroy when no longer needed for reference.

### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced or when no longer needed for referencing and updating.

(Supersedes N1-317-99-1, item 2 and N9-317-00-04, item 1)

WITHDRAWN

#### 4. LABOR ORGANIZATION SPECIAL REPORTS (OLMS National Office)

##### 1. Employer Report

Form LM-10 or equivalent and related correspondence. Forms are filed by number assigned to the employer upon receipt of an initial report and filed chronologically in each employer's disclosure file.

##### 2. Agreement and Activities Report

Form LM-20 or equivalent and related correspondence. Forms filed by number assigned upon receipt of an initial report and filed chronologically in each disclosure file.

##### 3. Receipts and Disbursements Report

Form LM-21 or equivalent and related correspondence. Forms filed by number assigned upon receipt of an initial report and filed chronologically in each disclosure file.

##### 4. Labor Organization Officer and Employee Report

Form LM-30 or equivalent and related correspondence. Forms filed by number assigned upon receipt of an initial report and filed chronologically in each disclosure file.

##### 5. Surety Company Annual Report

Form S-1 or equivalent and related correspondence. Forms filed by number assigned upon receipt of an initial report and filed chronologically in each disclosure file.

#### A. Textual Records

Temporary. Destroy when no longer needed for reference.

#### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced or when no longer needed for referencing and updating.

(Supersedes N1-317-95-1, item 1 and N9-317-00-04, item 3)

WITHDRAWN

## 5. INVESTIGATIVE CASE FILES (OLMS National Office and Field Offices)

Correspondence, complaints, investigative reports, exhibits and other materials relating to civil and criminal investigations conducted under the LMRDA and related statutes.

File Scheme: By assigned case number  
Volume On Hand: 2000 cubic feet  
Annual Accumulation: 200 cubic feet  
Restriction: Privacy Act System DOL/ESA-45

### A. Textual

1. Case files deemed historically significant. These cases meet at least one of the following criteria: generates significant national or regional media attention; results in a congressional investigation; causes substantive change in agency policy or procedure; or involves high level or prominent labor organization officials.

PERMANENT. Cut off after case is closed. Retain on site two years after cutoff and then transfer to the FRC. Transfer to the National Archives 25 years after cutoff.

### 2. All other case files

Temporary. Cut off after case is closed. Retain on site two years after cutoff and then transfer to FRC. Destroy 10 years after cutoff.

### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

(Supersedes N1-317-99-1, item 3 and N9-317-00-04, item 2)

WITHDRAWN

## 6. LABOR ORGANIZATION REPORTING SYSTEM (LORS) DATABASE RECORDS (OLMS National Office)

The LORS master file captures data (financial expenditures, assets, liabilities, etc.) extracted from labor organization reports covered under item 1 of this schedule.

File Scheme: By labor organization and/or designated file number

Annual Accumulation: One CD-ROM per year

Inclusive Dates: 1998 to present

### A. Inputs. Union organization and financial information taken from Forms LM-1, LM-2, LM-3, and LM-4 and simplified annual reports

Temporary. Disposition is covered by item 1 of this schedule.

### B. Master File. Data extracted from Forms LM-1, LM-2, LM-3, and LM-4 and simplified annual reports

Temporary. Delete when data is updated or superseded and transferred to CD-ROM in ASCII format.

### C. Outputs

1. CD-ROM, 1998 and 1999, containing master file data

PERMANENT. Transferred to National Archives.

2. CD-ROM containing master file data

PERMANENT. Produce annually at the end of the calendar year. Transfer to the National Archives immediately after verification.

3. Other textual reports needed for reference purposes

Temporary. Destroy when no longer needed for reference.

### D. Documentation: Includes system specification, file specifications, record layouts, and copies of reporting forms with corresponding instructions

1. Documentation required by 36 CFR 1228.188(e) and copies of Forms LM-1, LM-2, LM-3, and LM-4.

PERMANENT. Transfer annually to the National Archives with CD-ROM.

WITHDRAWN

2. All other documentation

Temporary. Destroy when updated or no longer needed for reference, whichever is sooner.

(Supersedes N1-317-99, item 4)

**7. CASE DATA SYSTEM (CDS)  
(OLMS National and Field Offices)**

Internal case tracking system for criminal and civil investigations used by OLMS National and Field Offices. Includes identification of parties, violation, case status, predication, and other pertinent information.

File Scheme: By designated case number  
Annual Accumulation: One CD-ROM per year  
Inclusive Dates: 1997 to present  
Restriction: Privacy Act System DOL/ESA-45

A. Inputs. Selected limited information extracted from OLMS criminal and civil investigative case files. (Investigative case files contain complete case records, see item 5 of this schedule). Privacy Act System DOL/ESA-45

1. Investigative case files deemed historically significant.

PERMANENT. Disposition covered by item 5.A.1. of this schedule.

2. All other case files

Temporary. Disposition covered by item 5.A.2. of this schedule.

B. Master File. Data extracted from OLMS investigative case files

Temporary. Delete when data is updated or superseded and transferred to CD-ROM in ASCII format.

C. Outputs

1. National Office creates CD-ROM containing master file data.

Temporary. Produce annually at the end of the calendar year. Destroy when no longer needed for reference.

WITHDRAWN

2. Other textual reports needed for reference purposes.

Temporary. Destroy when no longer needed for reference.

D. Documentation: Includes system specification, file specifications, and record layouts

1. Documentation required by 36 CFR 1228.188(e).

PERMANENT. Transfer annually to the National Archives with CD-ROM.

2. All other documentation

Temporary. Destroy when updated or no longer needed for reference, whichever is sooner.

**8. ZERO FILES  
(OLMS Field Offices)**

Files containing nonspecific or general intelligence information about unions, officers/employees, employers, consultants, and other persons or organizations in regard to potential LMRDA violations. Zero files include letters, memoranda, and supporting documents provided by complainants and informants; field office general correspondence; pertinent newspaper articles concerning union activity; OLMS memoranda summarizing information received from telephone inquiries and office visitors; and, copies of internal union documents. Any information contained in zero files deemed pertinent to an OLMS opened investigation is transferred to the appropriate OLMS investigative case file (see item 5 of this records schedule).

A. Textual Records

Temporary. Cut off upon receipt or creation of document. Transfer to FRC 4 years after cutoff. Destroy 10 years after cutoff.

B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

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## **9. GENERAL CORRESPONDENCE FILES (OLMS National Office)**

OLMS Division of Interpretations and Standards general correspondence. Responses to controlled mail from the White House, members of Congress, union officials, union members, the public and others. Documents stored by date of outgoing correspondence.

### A. Textual Records

Temporary. Cut off monthly. Destroy 5 years after cutoff.

### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

## **10. PROGRAM POLICY FILES (OLMS National Office)**

Correspondence, memoranda, reports, and other records produced by OLMS Division of Interpretations and Standards relating to program policy.

File Scheme: By numerical codes that correspond to various subject matters  
Volume On Hand: 60 cubic feet  
Annual Accumulation: 1 cubic foot  
Inclusive Dates: 1960 to present

### A. Textual Records related to the development of federal regulations

PERMANENT. Cut off after regulation is published in final. Transfer to National Archives 30 years after cutoff.

### B. All Other Textual Records

Temporary. Destroy when no longer needed for reference.

### C. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

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## **11. ASSISTANT SECRETARY DECISION AND ORDER FILES (OLMS National Office)**

Copies of signed Assistant Secretary Decision and Order rulings from 1979 to present issued pursuant to Title VII of the Civil Service Reform Act of 1978 (CSRA) (5 U.S.C. 7120) which deal with the standards of conduct provisions for Federal sector labor organizations and the implementing regulations, 29 CFR parts 457-459. Files from 1983 to present also include copies of complaints, briefs, investigative reports, exhibits, correspondence, and other material relating to Assistant Secretary Decisions and Orders.

File Scheme: By decision number and year  
Volume On Hand: 25 cubic feet  
Annual Accumulation: 1 cubic foot

### A. Textual Records

PERMANENT. Cut off after the Decision and Order is issued. Transfer to National Archives 30 years after cutoff.

### B. Electronic records created using electronic mail and word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

## **12. PROGRAM OPERATIONS FILES (OLMS National Office)**

Memoranda, reports, and other records produced by the OLMS Director relating to program operations. Records are arranged and filed by operational subject matter.

### A. Textual records

Temporary. Destroy when no longer needed for reference.

### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced.

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### **13. OPERATIONS MANUAL (OLMS National Office)**

Organizational information and program operations procedures.

File Scheme: By operational subject matter

Volume on Hand: One-half cubic foot

Annual Accumulation: Periodically updated

Inclusive Dates: 1971 to present

Restriction: FOIA exemptions 2 and 7(E)

#### A. Textual Records

PERMANENT. Transfer to National Archives when obsolete or when superceded by current Operations Manual.

#### B. Electronic records created using electronic mail or word processing

Temporary. Destroy or delete when recordkeeping copy has been produced or when no longer needed for referencing, updating, distribution or electronic dissemination, whichever is later.

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