

Name of Office: Office of the Assistant Secretary for Employment and Training (OASET)		Office Acronym: OASET	Date: 03/11/19 Updated 10/07/19	
Name of Records Custodian: Sharon Johnson		Files Location: S- 2307 OASET Shared Drive	Approved By and Date: <i>James Cline for Jenny Rooney</i> 10/07/19	
GRS/URS	File Title	Series and Brief Description	Location	Disposition Instructions
URS-DAA-0369-2014-0002-1	OASET Calendars/Schedule	URS Description: Schedules of Daily Activities for the Assistant Secretaries and Deputy Secretaries (ETA only) if not captured electronically and handled via Capstone.	Outlook/Capstone	Permanent. Cutoff at the end of the calendar year. Transfer to inactive storage when no longer needed. Transfer electronic records to the National Archives for pre-accession immediately after employee's end of tenure. Transfer to the National Archives 15 years after end of tenure.
URS N1-369-97-1, Item 1-A	Controlled Documents Files	All incoming and outgoing correspondence that relate to significant issues and mission of the ETA and prepared and handled by OASET.	CTS System and Program Offices files	Permanent. Cutoff files at the end of calendar year and retire to the Washington National Records

				Center when 2 years old. Transfer to the National Archives when 10 years old. When correspondence are prepared by Programs, they are temporary files of OASET and Programs are responsible for recordkeeping.
URS N1-369-97-1, Item 1-B	OASET Non-Controlled Correspondence Files	Incoming correspondence and outgoing responses that do not relate to significant issues and mission of ETA. Records include requests for ETA publications and general information about ETA programs. Examples: • Invitations to speak at meetings • Thank you letters • Information copies	S-2307 Main File Cabinet	Temporary. Destroy when five years old.
URS N1-369-97-1, Item 1-C	Electronic Records	Electronic records created by electronic mail and word processing applications.	OASET Shared Drive	Temporary. Delete when file copy is generated or when no longer needed for reference or updating unless maintained in Capstone. When prepared by

URS N1-369-97-1 Item 2	Correspondence Tracking System	A correspondence tracking system used to control correspondence for the Assistant Secretary and Deputy Assistant Secretary's Office. As correspondence is received, certain information is entered into the system, i.e., correspondent's name, subject of the letter, date received, date assigned for action and due date, and signature level required. When the correspondence is answered, appropriate data is entered into the system to reflect final action.	SIMS and CTS	Programs, the Programs are responsible for recordkeeping. Temporary. Destroy when five years old. ExecSec and OASAM/OCIO are the system owners of SIMS and CTS and is responsible for recordkeeping with regards to those systems.
GRS 1.1-001	Decision Items – Correspondence and Memoranda	Records and/or files created by the administrator, executive, or elected official that document executive level communication with agencies, staff, and external entities. Includes incoming and outgoing substantive and no-substantive correspondence and may be arranged by subject. Correspondence of a	S-2307 Main File Cabinet	DAA-GRS-2016-0013-0001 Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use.

		substantive nature includes records documenting agency policies/decisions and the process of deterring those policies. Also included records documenting how the department/division or office is organized and how it functions and/or performs its duties relative to its mandates (determined either by statute, regulation, ordinance, or agency policy).			When prepared by Programs, the Programs are responsible for recordkeeping.
GRS 1.1-011	OASET Travel	Travel receipts, approvals, and requests.	E2 – DOL's E-Travel System and S-2307 Main File Cabinet	DAA-GRS-2013-0003-0002 Temporary. Destroy when business use ceases. OASET's support staff are responsible for archiving travel documents.	
GRS 1.1-020	Financial Documents	Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Examples: • Documentation of decisions re accounting treatments and issue resolutions	S-2307 Main File Cabinet	DAA-GRS-2013-0003-0011 Temporary. Destroy 2 years after completion of audit or closure of financial statement /accounting treatment/issue, but longer	

			• Audit reports, management letters, notifications of findings, and recommendations • Documentation of legal and management representations and negotiations/settlements		retention is authorized if required for business use. When prepared by Programs, the Programs are responsible for recordkeeping.
GRS 2.2-080	Supervisors' personnel files	Employee Records. • OASET Staff • Staff reporting to DAS or COS	S-2307 Supervisor's File Cabinet	DAA-GRS-2017-0007-0012 Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.	
GRS 2.8-010	Employee Ethics Records	Ethics agreements records. Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes: • review of recusals, resignations, reassignments, and divestitures	S-2307 Main File Cabinet	DAA-GRS-2014-0005-0017 Temporary. Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer	

			• determinations • authorizations • waivers • waivers of disqualifications			needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.
GRS 5.1-010	OASET Documents		Internal Reports. Examples: • Unofficial org charts • Minutes of meetings • Office level administrative policy and procedure files	S-2307 Main File Cabinet and OASET Shared drive	DAA-GRS-2016-0016-0003 Temporary. Destroy when business use ceases.	
GRS 5.1-020	Non-recordkeeping copies of electronic records		Non-recordkeeping copies of electronic records. Examples: • documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent • senders' and recipients' versions of electronic mail messages that meet the definition of Federal	S-2307 Main File Cabinet or OASET Shared Drive	DAA-GRS-2016-0016-0002 Temporary. Destroy immediately after copying to recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use. When reports are prepared by Programs, the Programs are	

		records, and any related attachments • electronic spreadsheets • digital still pictures or posters • digital video or audio files • digital maps or architectural drawings • copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves		responsible for recordkeeping.
GRS 5.3-010	ETA Continuity Plans	Continuity planning and related emergency planning files. Examples: • COOP • Shutdown/Lapse	S-2307 Main File Cabinet Own by DOL/OASAM	DAA-GRS-2016-0004-0001 Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. OASAM maintains DOL's official copy. When Plans are prepared by

GRS 5.7-050	Mandatory reports to external Federal entities regarding administrative matters	Agency-level reports to external Federal oversight entities. Examples: • Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent • Annual Performance Plan, Annual Performance Report, or equivalent • E-Government status and compliance report (per PRA) • Annual strategic review	S-2307 Main File Cabinet	DAA-GRS-2017-0008-0005 Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use. When prepared by Programs, the Programs are responsible for recordkeeping.
GRS 6.1-010 Capstone	Emails	Capstone Officials emails- Assistant Secretaries, Deputies, Administrators, Deputy Administrators, Chief of Staff, Staff/Executives Assistants to Assistant Secretary, DAS, and COS.	Outlook OFFICE 365	DAA-GRS-2014-0001-0001 Permanent. Cut off in accordance with agency's business needs. Transfer to NARA 15-25 years after

					cutoff, or after declassification review (when applicable), whichever is later. OASAM manages Capstone.
--	--	--	--	--	---

This file plan is for the following incumbents in ASET:

- Assistant Secretary
- Deputy Assistant Secretary
- Chief of Staff
- Policy Advisors
- Staff Assistants
- Executive Assistants

