

ODEP 2020 File Plan

ODEP's File Code				Document/Folder Title and Other Information	File Arrangement and Disposition	File Location/ Custodian/Medium
DOL Func ORG Code	DOL/ODEP Schd Function Item	Disp Item	Item			
Administrative Files						
ODEP	ADM	01	Calendars, Schedules, and Logs			
		01	a	<p>Label: DAS's Daily Calendar – (Month/Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: printed copies of the DAS's calendar using Microsoft Outlook. Does not contain substantive information that is not incorporated in other official files such as speaking engagements, memoranda, reports, or correspondence.</p>	<p>Order: Chronological by Month and Year and then by day within the folder. Cut-off: End of fiscal year or when the Director leaves, whichever is sooner. Dispose: TEMPORARY. Destroy or delete when no longer needed for convenience of reference. Authority: GRS 5.1, Item 10</p>	<p>Filed: Confidential Assistant/DSK-1 Custodian(s): Administrative Staff Medium: Paper</p>
			b	<p>Label: DAS's Daily Calendar – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Calendar maintained in Microsoft Outlook.</p>	<p>Order: Chronological by Month and Year Cut-off: When the Director leaves Dispose: TEMPORARY. Delete with Outlook account. Authority: GRS 5.1, Item 10</p>	<p>Filed: Microsoft Outlook Custodian(s): Administrative Staff, Anne Barrack Medium: Electronic</p>
			c	<p>Label: ODEP At-A-Glance Calendar – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Microsoft Outlook calendar used to record ODEP staff daily leave.</p>	<p>Order: Chronological by Month and Year Cut-off: When no longer needed. Dispose: TEMPORARY. Destroy immediately after file cut-off. Authority: GRS 5.1, Item 10</p>	<p>Filed: Microsoft Outlook Custodian(s): Medium: Electronic</p>
ODEP	ADM	02	Staff Directories and Locators			
		01	a	<p>Label: ODEP Phone Directory – (Date) Date(s): Date of Update Describe/Content: Master Copy. Official ODEP phone directory produced in Microsoft Excel.</p>	<p>Order: Chronological by Date Cut-off: When superseded Dispose: TEMPORARY. Update when obsolete. Destroy/delete when no longer needed. Authority: GRS 5.1, Item 10</p>	<p>Filed: O-Drive (O:\ODEP Organization\Directories) Custodian(s): Anne Barrack; Shaun McGill Medium: Electronic</p>

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			b	Label: ODEP Phone Listing - (Staff Copies) Date(s): Date of Update Describe/Content: <u>Staff Copy</u> . Non-record, convenience copy forwarded to all staff as an email attachment.	Order: User Preference Cut-off: Close when obsolete, superseded or no longer needed for reference. Dispose: NON-RECORD. Delete/destroy immediately after file cut-off. Authority: <i>Not Applicable</i>	Filed: Workstation, O-Drive Custodian(s): All ODEP Staff Medium: Media-neutral
ODEP	ADM	03	Administrative Office Files			
			01	Label: Title or Subject Date(s): Date of Document Describe/Content: <u>Administrative Subject Files</u> . Copies of memoranda, reports, and other documents usually sent to all DOL agencies. Does not include ODEP program documents.	Order: Alphabetically by Subject Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy 1 year or when superseded, as appropriate, but longer retention is authorized if required for business use. Authority: <i>GRS 5.7, Item 10</i>	Filed: Central Files (includes O-Drives) Custodian(s): Shaun McGill Medium: Media-neutral
ODEP	DOL	Personnel Records				
ODEP	DOL	04	01	Employee Personnel Folders		
			01	Label: (Employee's Name) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: May include correspondence, position descriptions, Notices of Personnel Actions, award nominations, and other documents including those that may duplicate the Official Personnel Folder (OPF) records.	Order: Alphabetically by Employee Name Cut-off: End of fiscal year or when employee leaves the position, whichever is sooner. Dispose: TEMPORARY. Review annually and destroy superseded or obsolete documents or destroy file relating to an employee within 1 year after separation or transfer. Authority: <i>GRS 2.2, Item 80</i>	Filed: Supervisor's Office (Locked) Custodian(s): Shaun McGill Medium: Media-Neutral
ODEP	DOL	04	02	Employee Performance Appraisals and Elements – Non-SES		
			01	Label: (Employee's Name) Date(s): (Appraisal Period) Describe/Content: Includes performance appraisals ratings, correspondence, supporting documents, performance elements and standards.	Order: Alphabetically by Employee Name Cut-off: End of performance year or when employee leaves the position, whichever is sooner. Dispose: TEMPORARY. Destroy 4 years after date of appraisal Authority: <i>GRS 2.2, Item 70</i>	Filed: Supervisor's Office (Locked) Custodian(s): Supervisor Medium: Media-Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			02	Label: (Employee's Name) Date(s): (Appraisal Period) Describe/Content: Negative performance appraisals ratings, correspondence, supporting documents, performance elements and standards.	Order: Alphabetically by Employee Name Cut-off: End of performance year or when employee leaves the position, whichever is sooner. Dispose: TEMPORARY. Destroy after employee completes 1 year of acceptable performance from the date of written advance notice of proposed removal or reduction-in-grade notice. This disposition is mandatory; deviations are not allowed. Authority: <i>GRS 2.2, Item 71</i>	Filed: Supervisor's Office (Locked) Custodian(s): Supervisor Medium: Media-Neutral
ODEP	DOL	04	03	Equal Employment Opportunity (EEO) Records		
				Label: Name of the Report (i.e., FY2016 Disabled Veterans (DV) Affirmative Action Program (APP) Plan Certification and FY2016 Accomplishment Report) Date of Report: Describe/Content: <u>ODEP Official Record. EEO/Affirmative Action Plans and Certification.</u> Includes incoming request for certification and accomplishments, coordination grid, signed certification and accomplishment report.	Order: Alphabetically by Report Title Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 5 years from date of feeder plan or when administrative purposed have been served, whichever is sooner. Authority: <i>GRS 2.3, Item 35</i>	Filed: Central Files – Personnel Records Custodian(s): Shaun McGill Medium: Media-Neutral
ODEP	DOL	04	04	Labor Arbitration General and Case Files		
			01	Label: Arbitration Case File – Employee Name Case Date Range: MM/DD/YYYY – MM/DD/YYYY Describe/Content: Includes correspondence, forms, and background papers relating to labor arbitration cases.	Order: Alphabetically by Employee Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 5 years after final resolution of case. Authority: <i>GRS 2.3, Item 52</i>	Filed: Central Files Custodian(s): Shaun McGill Medium: Media-Neutral
ODEP	DOL	04	05	Training Management and Administration		
			01 a	Label: Training – General (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, relating to the establishment of training courses, seminars, or conferences for ODEP staff.	Order: Alphabetically by Course/Topic Cut-off: End of fiscal year or when course is cancelled or no longer approved. Dispose: TEMPORARY. Destroy/delete when 3 years old or 3 years after completion of a specific training program. Authority: <i>GRS 2.6, Item 10</i>	Filed: Workstation – Active Central Files – Closed / O Drive Custodian(s): Malcolm Smith Program Specialist (HR) Medium: Media-Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
				b Label: Employee's Name (Year) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: Correspondence, memoranda, reports, and other records relating to the availability and employee participation in training programs sponsored by other government agencies and non-Governmental institutions.	Order: Alphabetically by Employee Name Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy/delete when 5 years old or superseded or obsolete, whichever is sooner. Authority: <i>GRS 2.6 Item 30</i>	Filed: Workstation - Active Central Files - Closed / O Drive Custodian(s): Malcolm Smith Program Specialist (HR) Medium: Media-Neutral
				c Label: (Course Name) - (Date) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Staff Copy</u> . Non-record copy of training materials which may include photos, syllabuses, manuals, textbooks, etc., as well as authorizations and correspondence.	Order: User Preference Cut-off: When no longer needed Dispose: NON-RECORD. Destroy/delete immediately after cut-off Authority: <i>Not Applicable</i>	Filed: Workstations Custodian(s): All ODEP Staff Medium: Media-Neutral
ODEP	DOL	04	06	Administrative Grievance, Disciplinary, and Adverse Actions		
				Label: (Title of Memo) Date(s): (Memo Date) Describe/Content: Includes correspondence and memoranda, agreements, and other supporting documents related to a grievance.	Order: Chronologically by Date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 7 years after case is closed. Authority: <i>GRS 2.3, Item 60</i>	Filed: Central Files / O Drive Custodian(s): Malcolm Smith Medium: Media-Neutral
ODEP	DOL	04	07	Donated Leave Program Case Files		
				Label: (Employee's Name) (Year) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Case File</u> . Employee case files documenting the receipt and donation of leave. Includes: recipient application, agency approval or denial, medical certifications, leave donation records or OF 630-A, supervisor and/or timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records, leave audits and other pertinent documents.	Order: Alphabetically by Employee Name Cut-off: When the program terminates Dispose: TEMPORARY. Destroy 1 year after the end of the year in which the file is closed. Authority: <i>GRS 2.4, Item 30</i>	Filed: Central Files Custodian(s): Malcolm Smith Medium: Media-Neutral
ODEP	DOL	05	Payroll and Pay Administration Records			
ODEP	DOL	5	Time and Attendance Files			
				a Label: Time and Attendance Source Records Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Daily Sign-in Sheets</u> , <u>Overtime sheet</u> . Used to document attendance and to verify T&A data in the payroll system.	Order: Chronological by date Cut-off: End of leave year Dispose: TEMPORARY. Destroy after GAO audit or when 6 years old, whichever is sooner. Authority: <i>GRS 2.4, Item 30</i>	Filed: Binders - Active Central Files - Closed Custodian(s): Shaun McGill Medium: Paper
ODEP	DOL	06	Procurement, Supply & Equipment Records			
ODEP	DOL	06	01	Contract Management and Procurement Files		

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			a	<p>Label: (Contract Name) - (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Contracts that exceed \$100,000.</u> Contains contract, purchase order, specifications, bids, deliverables, Request for Proposals, invoices, Statements of Work, reports and correspondence.</p>	<p>Order: Alphabetically by Task/Company Name – Documents within the folder should be in reverse chronological order (i.e., the most recent documents first) Cut-off: Upon final payment of task and/or contract. Retire to FRC 3 years after cut-off. Dispose: TEMPORARY. Destroy 6 years and 3 months after final payment. Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation – Active Central Files – Closed Off-site Storage - Retired Custodian(s): Contracting Officer Representative (COR) Medium: Media-Neutral</p>
			b	<p>Label: (Contract Name) - (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Contracts below \$100,000.</u> Contains contract, purchase order, specifications, bids, delivery orders, Request for Proposals, invoices, vouchers, Statements of Work, reports and correspondence.</p>	<p>Order: Alphabetically by Task/Company Name – Documents within the folder should be in reverse chronological order (i.e., the most recent documents first) Cut-off: Upon final payment of task and/or contract. Dispose: TEMPORARY. Destroy 3 years after final payment. Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation - Active Central Files – Closed Off-site Storage - Retired Custodian(s): COR Medium: Media-Neutral</p>
			c	<p>Label: (Contract Name) – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Contracting Officer's Technical Representative (COTR) Files.</u> Correspondence and other records related to the award, administration, inspection and payment of ODEP contracts which are used for documentation, performance and financial monitoring, day-to-day technical direction, oversight and evaluation activities. May include logs and schedules, cost estimates, meeting notes, evaluation forms, contract amendments and modifications, supporting documentation, invoice approvals, comments provided to the contractor, feedback, etc.</p>	<p>Order: Alphabetically by Task/Company Name – Documents within the folder should be in reverse chronological order (i.e., the most recent documents first) Cut-off: Upon final payment of task and/or contract. Retire to FRC 3 years after cut-off. Dispose: TEMPORARY. Destroy 6 years and 3 months after final payment of the overall contract. Authority: <i>GRS 1.1 Item 11</i></p>	<p>Filed: Workstation – Active Central Files – Closed Off-site Storage - Retired Custodian(s): COR Medium: Media-Neutral</p>
			d	<p>Label: Major Purchases/Procurements - (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Transactions exceed \$100,000.</u> Contains quotes, contract, purchase orders, specifications, bids, deliverables, proposals, invoices, Statements of Work, reports and correspondence.</p>	<p>Order: Alphabetically by Purchase or Vendor Name - Documents within the folder should be in reverse chronological order (the most recent documents first) Cut-off: Upon final payment of task and/or contract. Retire to FRC 3 years after cut-off. Dispose: TEMPORARY. Destroy 6 years and 3 months after final payment Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation –Active Central Files or Off-site Storage Custodian(s): COR Medium: Media-Neutral</p>

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			e	<p>Label: Routine Purchases/Procurements - (Year) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Transactions below \$100,000.</u> Contains quotes, contract, purchase order, specifications, bids, deliverables, Request for Proposals, invoices, Statements of Work, reports and correspondence.</p>	<p>Order: Alphabetically by Purchase or Vendor Name - then in reverse chronological order Cut-off: Upon final payment of task and/or contract. Dispose: TEMPORARY. Destroy 3 years after final payment. Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation - Active Central Files - Closed Off-site Storage - Retired Custodian(s): COR Medium: Media-Neutral</p>
			f	<p>Label: Credit Card Statements - (Year) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: Includes vouchers, receipts, statements related to the purchase of supplies and services using a Government-issued credit card.</p>	<p>Order: Chronological by Month and Year Documents within the folder should be in reverse chronological order (the most recent documents first) Cut-off: Reconcile monthly. Cut-off at End of fiscal year. Dispose: TEMPORARY. Destroy 3 years after final payment. Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation - Active Central Files - Closed Off-site Storage - Retired Custodian(s): COR Medium: Media-Neutral</p>
			g	<p>Label: Manufacturers - Vendors Files Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: Records related to specific vendors/manufacturers used by the ODEP to provide promotional and/or special order items. Includes solicitations, quotes, product brochures, past orders and related materials.</p>	<p>Order: Alphabetically by Vendor or Manufacturer Name - Documents within the folder should be in reverse chronological order (i.e., the most recent documents first) Cut-off: When no longer needed. Dispose: TEMPORARY. Destroy immediately at cut-off. Authority: <i>GRS 1.1, Item 11</i></p>	<p>Filed: Workstation Custodian(s): Katina Well / Bennie Barton Medium: Media-Neutral</p>
ODEP	DOL	06	02	Requisitions for Services		
			a	<p>Label: Requisition for (Requested Service) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Official Record.</u> Requisitions (Form DL 1-72) for such services as printing, reproduction, custodial, moving, and other services. Files include correspondence, requisitions, reports and related records and work orders billed to the Capital Working Fund.</p>	<p>Order: Alphabetically by service type and then in reverse chronological order by date of action within the folder. Cut-off: End of fiscal year (Completed) Dispose: TEMPORARY. Destroy 2 years after completion/cancellation of requisition. Authority: <i>GRS 1.1, Item</i></p>	<p>Filed: Workstations Custodian(s): Katina Wells / Bennie Barton Medium: Media-Neutral</p>
			b	<p>Label: Requisition for (Requested Service) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Staff Copies.</u> Non-record copy of orders for services and/or supplies. Files may include correspondence, requisitions, reports and related documents.</p>	<p>Order: User Preference Cut-off: When no longer needed Dispose: NON-RECORD. Destroy/delete immediately after cut-off Authority: <i>Not Applicable</i></p>	<p>Filed: Workstations Custodian(s): Katina Wells / Bennie Barton Medium: Media-Neutral</p>

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
ODEP	DOL	06	03	Requisitions for Supplies or Equipment		
				a Label: Requested Supplies or Equipment – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Includes requisitions/supply orders for equipment, quotes, reports, correspondence and documentation related to ordering supplies or equipment.	Order: Alphabetically by item name and then in reverse chronological order by date of action. Cut-off: Upon completion or cancellation Dispose: TEMPORARY. 2 years after completion or cancellation of requisition. Authority: <i>GRS 1.1, Item</i>	Filed: Workstations – Active Central Files - Closed Custodian(s): Katina Wells / Bennie Barton Medium: Media-Neutral
				b Label: Requests for Equipment - Quotes (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Unaccepted Quotes.</u>	Order: Alphabetically by Vendor Name Cut-off: When deemed unacceptable Dispose: TEMPORARY. Destroy 6 months after cut-off. Authority: <i>GRS 1.1, Item 12</i>	Filed: Workstations Custodian(s): Bennie Barton Medium: Media-Neutral
ODEP	DOL	06	04	Equipment and Supplies Inventory Files		
				a Label: Supplies and Equipment Inventory Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Listing of PDA (Personal Digital Assistance) and cell phone assignments; Supplies and Equipment. Includes type, name, quantity and user.	Order: Chronologically by date and then alphabetically by supply/equipment name Cut-off: When obsolete or superseded, upon return of assigned equipment or when no longer needed. Dispose: TEMPORARY. Destroy 2 years from date of list or when superseded or updated. Authority: <i>GRS 1.1, Item 11</i>	Filed: Central Files Custodian(s): Pamela Makle / Katina Wells Medium: Media – Neutral
				b Label: Packing and Shipping Slips – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Received with ordered supplies.	Order: Alphabetically by Item Name Cut-off: Upon verification of receipt of requested items. Dispose: TEMPORARY. Destroy 2 years from date of slips. Authority: <i>GRS 1.1, Item 11</i>	Filed: Central Files Custodian(s): Pamela Makle Medium: Paper
				c Label: Warranty and Guarantee Files – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Records related to warranty period, guarantee conditions obtained with and applicable to supplies and/or equipment.	Order: Chronological by expiration date Cut-off: At expiration. Dispose: TEMPORARY. Destroy on expiration of warranty or guarantee. Authority: <i>GRS 1.1, Item 11</i>	Filed: Central Files Custodian(s): Pamela Makle Medium: Media-Neutral
ODEP	DOL	07		Telephone and Equipment Service Administration Files		

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			a	Label: Telephone Service Files- (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Includes requests for service/repairs; completion of service work orders.	Order: Chronological by request date Cut-off: When work is completed Dispose: TEMPORARY. Destroy 3 months after work is performed or requisition is canceled. Authority: <i>GRS 5.4, Item 10</i>	Filed: Workstation Custodian(s): Pamela Makle Medium: Media-Neutral
			b	Label: Equipment Service Files - (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Includes dates, type and status of requests for equipment service/repairs.	Order: Alphabetically by Equipment Type Cut-off: When equipment is transferred, sold, replaced, etc. Dispose: TEMPORARY. Destroy 3 months after work is performed or requisition is canceled. Authority: <i>GRS 5.4, Item 1.1</i>	Filed: Central Files Custodian(s): Pamela Makle Medium: Media-Neutral
ODEP	DOL	08	Budget Records			
ODEP	DOL	08	01	Budget Preparation and Background Records		
				Label: (Fiscal Year) – Budget Preparation Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Budget preparation materials including talking points, issue papers, 1 st cut goals and funding estimates, program mandates projections, authorities, correspondence and memoranda, and budget background materials.	Order: Chronological by Fiscal Year and then alphabetically by subject Cut-off: End of fiscal year covered by the budget Dispose: TEMPORARY. Destroy/delete 1 year after close of the fiscal year covered by the budget. Authority: <i>GRS 1.3, Item 10</i>	Filed: Workstation – Working Files Central Files - Active Custodian(s): Courtney Chung Medium: Media-Neutral
ODEP	DOL	08	02	Budget Reports		
			a	Label: (Fiscal Year) – ODEP Performance Budget Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Record Copy - Final.</u> Consolidated budget submission forwarded to the Office of Chief Financial Officer. Used to respond to Congressional inquiries, provide background and/or reference for future budgets; and to administer the present budget.	Order: Chronological by Fiscal Year Cut-off: End of fiscal year covered by the budget. Do not retire to FRC. Dispose: TEMPORARY. Destroy 5 years after cut-off. Authority: <i>GRS 1.3, Item 20</i>	Filed: Binders Custodian(s): Courtney Chung / Shaun McGill Medium: Paper
			b	Label: (Fiscal Year) – Budget and Performance Management Review Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content:	Order: Chronological by Fiscal Year Cut-off: End of fiscal year covered by the budget. Do not retire to FRC. Dispose: TEMPORARY. Destroy 3 years after cut-off. Authority: <i>GRS 1.3, Item 30</i>	Filed: Workstation and Central Files Custodian(s): Courtney Chung Medium: Paper
ODEP	DOL	09	Accountable Officers' Accounts Records			

ODEP's File Code			Document/Folder Title	File Arrangement	File Location/
ODEP	DOL	09	Accounting Administrative Files		
			Label: Leave Audit - Employee Name Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Administrative Audits.</u> Correspondence, reports and relating to administrative audits of leave for donated leave participants and other leave anomalies that require an internal audit.	Order: Alphabetically by Employee Name Cut-off: End of leave year covered by the audit. Dispose: TEMPORARY. When 3 years old. Authority: <i>GRS 1.3, Item 50</i>	Filed: O-Drive Custodian(s): Malcolm Smith Medium: Media-Neutral
ODEP	DOL	10	Expenditure Accounting Records		
ODEP	DOL	10	Appropriations and Allotments		
			a Label: (Fiscal Year) – Detail Fund Reports Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Record Copy.</u> Departmental Accounting System printout sent from the Budget Office showing obligations and allotments under each authorized appropriation.	Order: Chronological by Fiscal Year Cut-off: End of fiscal year covered by the budget Dispose: TEMPORARY. Destroy 6 years and 3 months after the close of the fiscal year involved. Authority: <i>GRS 1.3, Item 30</i>	Filed: Binders Custodian(s): Courtney Chung / Shaun McGill Medium: Media-Neutral
			b Label: (FY) - Operating/Analysis Budget Reports Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy.</u> Reported by Regions on a monthly basis on the status of appropriations and apportionment. Includes budget activity reports, Detailed Performance Summary, Final Departmental Management (DM) Report and other reports not previously specified.	Order: Chronological by Fiscal Year Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy 6 years and 3 months after the close of the fiscal year involved. Authority: <i>GRS 1.3, Item 30</i>	Filed: O-Drive – Budget Folder Custodian(s): Courtney Chung / Shaun McGill Medium: Electronic
			C Label: (Fiscal Year) – Capital Working Fund Charge Report Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Print-out report of charges covered by the DOL Capital Working Fund.	Order: Chronological by Fiscal Year Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy when 3 years old Authority: <i>GRS 1.3, Item 30</i>	Filed: Workstation and Central Files Custodian(s): Courtney Chung Medium: Media-Neutral.
ODEP	DOL	11	Travel and Transportation		
ODEP	DOL	11	Travel Files		
			a Label: A/S-DAS's Travel Files – (Fiscal Year) Date(s): Describe/Content: <u>Director's Travel.</u> Copies of travel orders, authorizations, receipts for tickets, lodging, rental vehicles, per diem vouchers, and other supporting documents relating to reimbursable official travel for domestic or international travel.	Order: Chronologically by date of travel Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 6 years old. Authority: <i>GRS 1.1, Item 11</i>	Filed: DAS's Suite – Active Off-site Storage - Closed Custodian(s): Anne Barrack / Pamela Makle Medium: Media-neutral
ODEP	DOL	12	Information Services Records		
ODEP	DOL	12	Freedom Of Information Act (FOIA) Requests		

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			a	Label: FOIA Requests – (Fiscal Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Granted – Not Appealed.</u> Incoming requests made under the Freedom of Information Act (FOIA) and copies of responses and requested materials and related supporting documents.	Order: Chronologically by year and month of reply (most recent first) Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 2 years after reply date. Authority: <i>GRS 4.2, Item 010</i>	Filed: O Drive Custodian(s): David Berthiaume and Shaun McGill (Back-up) Medium: Media-Neutral
			b	Label: FOIA Requests – Denied (Fiscal Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Nonexistent Records – Not Appealed.</u> Responses to requests for nonexistent records. Also includes responses to requests with inadequate descriptions, or to requestors who fail to pay reproduction fees.	Order: Chronologically by year and month of reply (most recent first) Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 2 years after reply date. Authority: <i>GRS 4.2, Item 20</i>	Filed: O Drive Custodian(s): David Berthiaume and Shaun McGill (Back-up) Medium: Media-Neutral
			c	Label: FOIA Requests – Denied (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Denial – Not Appealed.</u> Responses to requests denying access to all or part of the requested records.	Order: Chronologically by year and month of reply (most recent first) Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 6 years after reply date. Authority: <i>GRS 4.2, Item 20</i>	Filed: O Drive Custodian(s): David Berthiaume and Shaun McGill (Back-up) Medium: Media-Neutral
			d	Label: FOIA Administrative Files (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy.</u> Records relating to the general implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Order: Chronologically by year and month of request and in reverse order of date within the folder. Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy when 2 years old. Authority: <i>GRS 4.2, Item 001</i>	Filed: O Drive Custodian(s): David Berthiaume and Shaun McGill (Back-up) Medium: Media-Neutral
			e	Label: FOIA Reports (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Copy.</u> ODEP submission to the Office of the Solicitor reporting FOIA activity and statistics.	Order: Chronologically by year and month Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy when 2 years old. Authority: <i>GRS 4.2, Item 20</i>	Filed: O Drive Custodian(s): David Berthiaume and Shaun McGill (Back-up) Medium: Media-Neutral
ODEP	DOL	13	Administrative Management Records			
ODEP	DOL	13	Records Management and Disposition Files			

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			02	a Label: ODEP Records Schedule Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Approved.</u> Records Schedule approved by the National Archives and Records Administration (NARA) and used to manage ODEP Records. Includes Administrative, Programmatic, Permanent, and Temporary records. Applies to records regardless of media, i.e., paper, electronic, photographs, audiovisual, etc.	Order: Approval Date Cut-off: When obsolete or superseded. Dispose: TEMPORARY. Destroy 2 years after supersession. Authority: <i>GRS 4.1, Item 10</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media-Neutral
				b Label: ODEP Records File Plan Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Plan describing file codes, folders, custodians, locations, medium, records date ranges, cut-off instructions and disposition.	Order: Approval Date Cut-off: When obsolete or superseded. Dispose: TEMPORARY. Destroy 2 years after supersession. Authority: <i>GRS 4.1, Item 10</i>	Filed: Workstations and Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
				c Label: SF-115 Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Approved.</u> Form SF-115 – Request for Records Disposition Authority that have been approved by NARA.	Order: Chronologically by approval date Cut-off: When superseded. Dispose: TEMPORARY. Destroy 2 years after supersession. Authority: <i>GRS 4.1, Item 20</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
				d Label: SF-135 Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Approved.</u> Form SF-135 – Records Transmittal and Receipt that have been approved by NARA.	Order: Chronologically by approval date Cut-off: After applicable records have been transferred to Federal Records Center Dispose: TEMPORARY. Destroy 6 years after related records are destroyed or transferred to Federal Records Center. Authority: <i>GRS 4.1, Item 20</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
				e Label: SF-258 Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Approved.</u> Form SF-258 – Agreement to Transfer Records to National Archives.	Order: Chronologically by approval date Cut-off: After applicable records have been transferred to the National Archives. Dispose: TEMPORARY. Destroy 6 years after related records are transferred to the National Archives. Authority: <i>GRS 4.1, Item 20</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			f	Label: NA -13001 Files Date(s): Date of Notice Describe/Content: <u>Notice of Eligibility For Disposal.</u> Notice sent from Federal Records Center (FRC) that records will be destroyed by a certain date.	Order: Alphabetically by Record Series Cut-off: After signing/dating notice and annotating SF-135 with the destruction date. Dispose: TEMPORARY. Destroy 6 years after related records are destroyed. Authority: <i>GRS 4.1, Item 20</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
			g	Label: Optional Form (OF)-11 Date(s): Date of Request Describe/Content: <u>Optional Form.</u> Reference Request to the Federal Records Center for: (1) Copy of Records Only; (2) Permanent Withdrawal; (3) Temporary Loan of Records; (4) On-site Review; or (5) Other.	Order: Alphabetically by Record Series or Description Cut-off: Dispose: TEMPORARY. Destroy when 6 years old. Authority: <i>GRS 4.1, Item 20</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
			h	Label: Records Management – General Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Correspondence, memoranda, reports, and other records relating to the management of ODEP records.	Order: Chronologically by document date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 6 years old. Authority: <i>GRS 4.1 Item 40</i>	Filed: Central Files – Administrative Management – Records Management and Disposition Custodian(s): Shaun McGill Medium: Media Neutral
ODEP	DOL	14	Management Control Records			
		14	a	Label: Policy, Procedure and Guidance Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Copy.</u> Copies of policies, procedures, and guidance relating to evaluations and reporting of DOL agencies accounting and administrative controls to prevent waste, fraud, and mismanagement.	Order: Alphabetically by policy title Cut-off: When superseded Dispose: TEMPORARY. Destroy when superseded Authority: <i>GRS 5.7, Item 10</i>	Filed: Central Files Custodian(s): Shaun McGill Medium: Media Neutral
			b	Label: FY Internal Controls Entity-Level Self-Assessment Questionnaire Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Copy.</u> Annual submission to the Chief Financial Officer as required by OMB Circular A-123 Appendix A, Internal Controls over Financial Reporting.	Order: Chronologically by submission date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when superseded Authority: <i>GRS 5.7, Item 10</i>	Filed: Central Files Custodian(s): Shaun McGill Medium: Media Neutral

ODEP's File Code			Document/Folder Title		File Arrangement	File Location/
				<p>Label: Financial Management Quarterly Certifications Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Copy</u>. Quarterly reports and assurance certifications required by the Federal Manager's Financial Integrity Act (FMFIA), the Federal Financial Management Improvement Act (FFMIA), and other related authorities.</p> <p>Files consist of signed certifications, memoranda, reports, attachments and background materials.</p>	<p>Order: Chronologically by Quarter Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy after next reporting cycle Authority: <i>GRS 1.1, Item 20</i></p>	<p>Filed: Central Files Custodian(s): Courtney Chung Medium: Media Neutral</p>
ODEP	DOL	15	Security, Safety and Emergency Planning Records			
ODEP	DOL	15	Safety and Emergency Planning Files			
			26	<p>a</p> <p>Label: Emergency Planning and Training Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Correspondence and other files relating to the Administration and operation of the ODEP emergency planning program. Includes training records, also.</p>	<p>Order: Chronologically by Date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 2 years old. Authority: <i>GRS 2.6, Item 10</i></p>	<p>Filed: Workstation (Locked) Central Files Custodian(s): Shaun McGill Medium: Media Neutral</p>
				<p>b</p> <p>Label: ODEP Continuity of Operations and Pandemic Flu Plan (COOP) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP COOP Plan</u>. Contains plans and directives for the continued operation of ODEP in times of emergency or disaster. Includes correspondence, reports, instructions, charts and plans to be used in mobilization, evacuation, relocation and the protection of vital records.</p>	<p>Order: Chronologically by Date Cut-off: When superseded or obsolete Dispose: TEMPORARY. Destroy 3 years after issuance of a new plan or directive Authority: <i>GRS 5.3, Item 10</i></p>	<p>Filed: Workstation (Locked) Custodian(s): Shaun McGill Medium: Digital</p>
				<p>c</p> <p>Label: Safety Coordination Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Reports of surveys and inspections of ODEP facilities conducted to ensure adequate protective and preventive measures taken against hazards of fire, accident, pests, life and limb.</p>	<p>Order: Chronologically by Inspection Date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 3 years old or upon discontinuance of the facility, whichever is sooner. Authority: <i>GRS 2.7, Item 20</i></p>	<p>Filed: Workstation (Locked) Custodian(s): Shaun McGill Medium: Media-Neutral</p>
				<p>d</p> <p>Label: DOL Safety/Security Plans and Procedures Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Memoranda and other correspondence, reports, etc. related to DOL-wide security and safety procedures, policies and activities.</p>	<p>Order: Chronologically by Date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 2 years after cut-off. Authority: <i>GRS 2.7, Item 20</i></p>	<p>Filed: Central Files Custodian(s): Shaun McGill Medium: Media-Neutral</p>
ODEP	DOL	16	Information Technology Operations and Management Records			
ODEP	DOL	16	User Identification, Profiles, Authorizations and Passwords Files			

ODEP's File Code			Document/Folder Title	File Arrangement	File Location/	
		01	<p>Label: USERID/Password Administration Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Authorization, log-in files for access to DOL and ODEP system such as LearningLink.</p>	<p>Order: Alphabetically by System Name Cut-off: When obsolete or superseded or when a User no longer needs access Dispose: TEMPORARY. Destroy/delete when determined no longer needed for Administrative, legal, audit, or other operational purposes. Authority: <i>GRS 3.2, Item 30</i></p>	<p>Filed: Workstation Custodian(s): OCIO Medium: Media-Neutral</p>	
ODEP	DOL	17	DOL and ODEP Website Management and Operations			
		08	a	<p>Label: ODEP Website Management Files Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Includes files relating to designing, populating, testing, implementing and maintaining the ODEP web site.</p>	<p>Order: Chronologically by Date Cut-off: End of fiscal year Dispose: TEMPORARY. Delete/Destroy 1 year after cut-off. Authority: Unscheduled</p>	<p>Filed: Workstation Custodian(s): OCIO Medium: Media-Neutral</p>
			b	<p>Label: ODEP Program Websites - Content Approval Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Content and subject matter review and approval files new (add new initiatives) May include reports, statistics, and procedures.</p>	<p>Order: Alphabetically by Program Name and then chronologically by approval date Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 1 years after file cut-off. Authority: Unscheduled</p>	<p>Filed: Workstation and Central Files Custodian(s): OCIO Medium: Media-Neutral</p>
ODEP	DOL	18	Ethics Program Records			
ODEP	DOL	18	Financial Disclosure Reporting			
		01	a	<p>Label: (Individual's Name) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>For individuals not confirmed by US Senate or elected.</u> Disclosure reports and related records submitted by ODEP staff as required by P.L. 95-521. Includes late filing fee payments, requests for public reporting waivers, comments sheets and responses, extension requests and other related documents.</p>	<p>Order: Alphabetically by Last Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy/delete when 1 year after nominee ceases to be under consideration for the position. Authority: <i>GRS 2.8, Item 70</i></p>	<p>Filed: Central Files - Locked Custodian(s): Bryan Ballmann / Shaun McGill Medium: Media-Neutral</p>

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			b	Label: (Individual's Name) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: All Other Forms. Disclosure reports and related records submitted by ODEP staff as required by P.L. 95-521. Includes late filing fee payments, requests for public reporting waivers, comments sheets and responses, extension requests and other related documents.	Order: Alphabetically by Last Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy/delete when 6 years old; EXCEPT if documents are needed in an ongoing investigation which will be retained until no longer needed. Authority: GRS 25, item 2a(2)	Filed: Central Files - Locked Custodian(s): Bryan Ballmann / Shaun McGill Medium: Media-Neutral
ODEP	DOL	19	Ethics Agreements			
			01	Label: (Individual's Name) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Records documenting review and issuance of agreements used to remedy the appearance of potential or actual financial conflicts of interest.	Order: Alphabetically by Last Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy/delete 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect, whichever is later. Authority: GRS 2.8, Item 100	Filed: Central Files - Locked Custodian(s): Bryan Ballmann / Shaun McGill Medium: Media-Neutral
ODEP	DOL	20	Non-Federally Funded Travel Funds			
			01	Label: (Individual's Name) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Expense reports and other records which summarize payments made to a non-Federal source for travel subsistence and related expenses while attending meetings or other functions relating to official duties.	Order: Alphabetically by Last Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy/delete 3 years after cut-off. Authority: GRS 2.8, Item 30	Filed: Workstation Custodian(s): Courtney Chung / Shaun McGill Medium: Media-Neutral
ODEP	DOL	21	Ethics Employee Training and Education			
			01	Label: (Individual's Name) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Records relating to the new employee ethics orientation, annual and other ethics training and education. Includes plans, schedules, rosters, verification of training as well as materials provided to employees during ethics training.	Order: Alphabetically by Last Name Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy/delete when 6 years old. Authority: GRS 2.8, Item 10	Filed: Workstation Custodian(s): Bryan Ballmann / Shaun McGill Medium: Media-Neutral
ODEP	EVT	ODEP Events, Conferences, Programs				
ODEP	EVT	22	Speeches, Addresses, Comments			

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/	
			01	a	<p>Label: (Event, City and State) – (Date) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record File</u>. Final speech, program agenda, original invitation and acceptance, speakers' bios, organization background, trip reports, photos, presentations, publications, correspondence, other background research and advance work documents used to prepare the Director for the event.</p>	<p>Order: Chronological by Event Date Cut-off: End of fiscal year or when Director leaves, whichever is sooner. Dispose: PERMANENT. Retire to FRC when 5 years old. Transfer to National Archives in 5 year blocks when 10 years old. Delete electronic copies when the recordkeeping copy has been created. Authority: 6.4 Item 10</p>	<p>Filed: O Drive Custodian(s): Administrative Staff Medium: Paper</p>
				b	<p>Label: (Event, City and State) – (Date) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Away Folder</u>. Trip folder used by the Director while attending an event. Usually includes travel and hotel reservations, tickets, final speech or index cards, event program, contact information, itinerary, presentation and/or publications, and other materials pertinent to the event.</p>	<p>Order: Director's preference Cut-off: When the Director returns Dispose: TEMPORARY. File returned documents in the appropriate folders to complete the Official Record File. For example, travel voucher, passport information, hotel reservation, etc. should be filed in the Travel Records. Handwritten notes and other official documents should be filed in the Official Record File for the specific event. Discard or re-use folder. Authority: GRS 1.1, Item 11</p>	<p>Filed: DAS's Office File Cabinet Custodian(s): Administrative Staff Medium: Paper</p>
				c	<p>Label: ODEP DAS/COS's Speeches – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Background and Advance Work Material</u>. Usually includes the original invitation, draft agenda, speaker bios and organization background, program schedule, correspondence (including email), research materials, draft presentations, memoranda, travel vouchers, itineraries, reservations, and other related documents used to prepare for the event.</p>	<p>Order: Chronologically by event date Cut-off: Event completion Dispose: TEMPORARY. File background documents in the appropriate folders to complete the Official Record Files. For example, travel voucher, passport information, hotel reservation, etc. should be filed in the Travel Records. Original invitations, correspondence and authorizations and any trip reports should become a part of the event's official file. Authority: GRS 6.4, Item 10</p>	<p>Filed: Custodian(s): Administrative Staff Medium: Paper</p>
ODEP	EVT	22	02	Events Planning and Administrative Support			
			02	a	<p>Label: (Event/Conference) (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Planning</u>. Event planning records developed during program reviews or as a result of changing focus, multi-year planning, identified needs. Includes minutes, recommendations, financial and budgeting reports, logistic needs, strategic planning, etc.</p>	<p>Order: Chronologically by date and then alphabetically by Event Title Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy 3 years after cut-off Authority: Unscheduled</p>	<p>Filed: Workstation and Central Files Custodian(s): Medium: Media-Neutral</p>

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
				Label: (Events/Conferences) Date(s): Event Date(s) Describe/Content: <u>Administrative Support.</u> Records produced as a result of administrative and logistic support of ODEP Events. Files include contact lists, vendors, space and equipment reservations, caterers, etc.	Order: Alphabetically by Event Title Cut-off: End of Event Dispose: TEMPORARY. Destroy 1 year after event date. Authority: 5.2 Item 010	Filed: Central Files Custodian(s): Team Members, Administrative Staff Medium: Media-Neutral
ODEP	EVT	22	03	ODEP Events, Conferences and Seminars		
			01	a Label: (Name of Conference/Event) Case File Date(s): Event Date(s) Describe/Content: <u>Official Record.</u> Records relating to events either hosted or participated in by ODEP.	Order: Alphabetically by ODEP Program and then by Event Title Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy completed events 3 years after file cut-off. Authority: GRS 6.4 Item 010	Filed: Central Files (includes O Drive) and Off-Site Storage Custodian(s): Anne Barrack Medium: Media-Neutral
ODEP	LEG	23		Legislative Affairs		
			01	a Label: Requests for Comment Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Non-ODEP Related.</u> Comments on draft legislation which does not significantly affect the ODEP. File includes controlled correspondence, email, background and research materials, coordination, comments, and final response.	Order: Alphabetical by Title Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy 1 years after completion. Authority: GRS 6.6 Item 030	Filed: Workstation Central Files - Custodian(s): Bryan Ballmann Medium: Media-Neutral
				b Label: (Legislation – Number and Name) (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP-Related.</u> Legislation that significantly impact ODEP programs, mission, organization, or policies. Includes copy of legislation and any pertinent background material.	Order: Alphabetical by Title Cut-off: End of fiscal year Dispose: TEMPORARY. Retire to FRC when passed, withdrawn or not acted upon by the present session of Congress. Destroy 6 years after file cut-off. Authority: GRS 6.6 Item 010	Filed: Central Files Custodian(s): Bryan Ballmann, Medium: Media-Neutral
				c Label: (Name of Legislation or Legal Study) (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Legislation Analysis Files. Files related to the research, review and analysis of legislation or legal studies.	Order: Alphabetical by Subject Cut-off: End of fiscal year. Dispose: TEMPORARY. Destroy 6 years after cut-off. Authority: GRS 6.6 Item 010	Filed: Workstation – Active Central Files - Closed Custodian(s): OPP Staff Medium: Media-Neutral
ODEP	POL			Policy and Directives Records		
ODEP	POL	24	ODEP Policy and Directives			

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
		01	a	Label: Standard Operating Procedures Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Internal directions for processes, procedures or tasks that are not maintained as the official ODEP policy/directives files.	Order: Alphabetical by Subject Cut-off: When superseded or obsolete Dispose: Destroy/delete when 3 years old or superseded. Authority: GRS 5.6 Item 010	Filed: O Drive Workstations Custodian(s): All ODEP Staff Medium: Media-Neutral
ODEP	POL	25	Department of Labor Orders and Directives			
		01	a	Label: Secretary of Labor New Orders Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Proposed departmental orders circulated for approval and clearance.	Order: Alphabetical by Subject Cut-off: End of fiscal year. Dispose: Destroy 3 years after cut-off. Authority: Unscheduled	Filed: Central Files Custodian(s): Medium: Media-Neutral
			b	Label: Department of Labor Directives and Orders Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: ODEP implementation of DOL Directives. Includes memoranda, usually signed by the Director or Deputy Director, to ODEP staff.	Order: Alphabetical by Subject Cut-off: End of fiscal year. Dispose: Destroy 3 years after cut-off or when superseded, whichever is sooner. Authority: Unscheduled	Filed: Custodian(s): Medium: Media-Neutral
Prepared by :ODEP	PRG	25	01	EXECUTIVE CORRESPONDENCE		
			a	Label: Title of Memoranda or Subject Matter Date(s): Document Date Describe/Content: <u>AS/DAS Signature</u> . Signed major correspondence that significantly documents program activities, decisions, policies, etc. Files consists of any incoming documents (includes email), responsive letters or memoranda, background and supporting documentation, concurrences grid and any enclosures. Also includes correspondence originated by the AS or DAS that relates to ODEP programs, policies, or decisions.	Order: Chronologically by year then alphabetically by subject Cut-Off: End of fiscal year Dispose: PERMANENT. Retire to FRC 5 years after cut-off. Transfer to National Archives 15 to 25 years after cut-off. Authority: GRS 6.1 Item 10	Filed: Central Files Custodian(s): Administrative Staff, Anne Barrack Medium: Media-Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			b	Label: Office of the Solicitor Inquiries – (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy.</u> Controlled correspondence signed by the AS or DAS or authorized surrogate in response to inquiries from the DOL Solicitor's Office.	Order: Alphabetically by subject and then chronologically by signature date within the folder Cut-Off: End of fiscal year Dispose: TEMPORARY. Retire to FRC 3 years after cut-off. Destroy when 10 years old or 7 years after retirement. Authority: GRS 6.1 Item 10	Filed: Central Files Custodian(s): Bryan Ballmann Medium: Paper
			c	Label: (Correspondence Working Files - (Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP staff copies.</u> Documents related to controlled correspondence. Includes drafts, working documents, background materials, copies of: concurrences and approvals, incoming letters, final responses, enclosures.	Order: Chronologically by month/year and then by control number Cut-Off: End of fiscal year Dispose: TEMPORARY. Destroy 1 year after date of final response or after annual performance appraisal, whichever is sooner. Authority: GRS 5.1, Item 20	Filed: Workstations, O Drive Custodian(s): Corresponding ODEP Team Medium: Media-Neutral
ODEP	PRG	25	02	ODEP-Controlled Correspondence		
			a	Label: Requests for Publications Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy.</u> Also includes routine requests for publications or technical assistance. Responses include form letter and requested publications.	Order: Chronologically by year Cut-Off: When response is dispatched. Dispose: Destroy when 3 months old. Authority: GRS 4.2, Item 10	Filed: Workstations Custodian(s): Administrative Staff / Shaun McGill Medium: Media-Neutral
ODEP	PRG	25	03	Director's Program Subject Files		
			a	Label: Subject (i.e., ODEP Strategic Planning) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Copies of correspondence, reports, and other records accumulated by the AS and DAS on a variety of subjects.	Order: Alphabetically by Subject Cut-off: End of fiscal year or when the AS/DAS leaves, whichever is sooner. Dispose: TEMPORARY. Destroy 3 years after cut-off. Authority: GRS 4.4 Item 010	Filed: DAS's Office Custodian(s): Administrative Staff, Records Manager Medium: Media-Neutral
ODEP	PRG	26	OTHER PROGRAM ADMINISTRATION RECORDS			
		01	a	Label: Memoranda of Understanding (MOUs) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Administrative Copy.</u> Agreements between the ODEP and other DOL and/or Federal agencies, private institutions and organizations, executed according to DOL requirements and policy (DSMS 3-1700). Includes MOU Clearance and Approval Form (DL 1-2226) and the signed MOU.	Order: Alphabetically by MOU Title Cut-Off: End of period covered by MOU Disposition: TEMPORARY. Delete/destroy 10 years after cut-off. Authority: GRS 1.2 Item 20	Filed: O-Drive, O-Drive Workstations and Central Files Custodian(s): Carol Dunlap, Administrative Staff, Shaun McGill Medium: Media-Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			b	Label: Interagency Agreements (IAAs) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy</u> . Agreement between the ODEP and other Federal agencies.	Order: Alphabetical by IAA Title Cut-Off: End of IAA period Destroy: TEMPORARY. Destroy/Delete 5 years old after cut-off. Authority: GRS 1.1 Item 011	Filed: O-Drive, O-Drive Workstations and Central Files Custodian(s): Carol Dunlap, Administrative Staff, Shaun McGill Medium: Media-Neutral
ODEP	PUB	27	ODEP Publications Records			
		01	a	Label: (Publication Name or Type) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Official Record Copy</u> . ODEP newsletters, brochures, pamphlets, Fact Sheets, and other publications. Does not include working papers and background materials.	Order: Alphabetically by Name Cut-Off: When obsolete or superseded. Destroy: PERMANENT. Retire to FRC when 3 years old. Transfer to NARA in 5 year blocks when 5 years old. Authority: <u>Unscheduled</u>	Filed: Central Files Custodian(s): Betsy Kravitz, Shaun McGill Medium: Paper
			b	Label: (Publication Name or Type) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Stockpile copies</u> of ODEP newsletters, brochures, pamphlets, Fact Sheets, and other publications.	Order: User Preference Cut-Off: When obsolete or superseded. Destroy: NON-RECORD. Destroy/delete when no longer needed. Authority: <i>Not Applicable</i>	Filed: Central Files Custodian(s): Betsy Kravitz, Shaun McGill Medium: Paper
ODEP	RPT		ODEP Reports Records			
		28	Annual Reports			
		01	a	Label: Annual Performance Report Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content:	Order: Chronological by Date Cut-Off: End of fiscal year Destroy: TEMPORARY. Retire to FRC 5 years after cut-off. Destroy/delete 5 years after cut-off. Authority: GRS 2.2 Item 010	Filed: Workstation and Central Files Custodian(s): Savi Swick Medium: Paper
			b	Label: Annual Strategic Plan and Performance Plan Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content:	Order: Chronological by Date Cut-Off: End of fiscal year Destroy: TEMPORARY. Retire to FRC 5 years after cut-off. Destroy/delete 5 years after cut-off. Authority: GRS 4.4 Item 010	Filed: Workstation and Central Files Custodian(s): Savi Swick Medium: Paper
			c	Label: Annual Acquisition Plan and Procurement Forecast for (Fiscal Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Official Record</u> . Response to request sent to DOL agencies for internal reporting or other purposes. Includes reports and correspondence relating to procurement/acquisition requirements submitted for supply/services management purposes as required by the Federal Acquisition Regulations (FAR).	Order: Chronologically by Fiscal Year Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 2 years old or 1 year after file cut-off. Authority: <i>GRS 1.1, Item 011</i>	Filed: Central and Workstations (includes O-, O2- and O-Drives) Custodian(s): Courtney Chung Medium: Media-Neutral

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			d	Label: Annual Acquisition Plan and Procurement Forecast for (Fiscal Year) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>ODEP Official Record</u> . Response to request sent to DOL agencies for internal reporting or other purposes. Includes reports and correspondence relating to procurement/acquisition requirements submitted for supply/services management purposes as required by the Federal Acquisition Regulations (FAR).	Order: Chronologically by Fiscal Year Cut-off: End of fiscal year Dispose: TEMPORARY. Destroy when 2 years old or 1 year after file cut-off. Authority: <i>GRS 1.1, Item 011</i>	Filed: Central and Workstations (includes O-, O2- and O-Drives) Custodian(s): Courtney Chung Medium: Media-Neutral
ODEP	RPT	29	Quarterly Reports			
		01	a	Label: Budget and Performance Management Review Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Quarterly Review</u> . Quarterly Management Review of ODEP budget execution, performance goal status, management challenges, and strategic goals status. Final quarter review provides summary data which may be used in budget formulation, strategic planning, and program development.	Order: Chronological by Date Cut-Off: End of fiscal year. Destroy: TEMPORARY. Destroy 3 years after cut-off. Authority: GRS 1.3 Item 031	Filed: Central Files and Workstation Custodian(s): Courtney Chung Medium: Media-Neutral
ODEP	RPT	30	Weekly Reports			
		01	a	Label: Huddle Report (White House Report) Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: <u>Secretary Copy</u> . Report of upcoming significant activities to The Secretary of Labor.	Order: Chronological by Date Cut-Off: End of fiscal year. Destroy: TEMPORARY. Destroy/delete 3 years after cut-off. Authority: Unscheduled	Filed: O-Drive Custodian(s): Anne Barrack / Administrative Staff Medium: Electronic
			d	Label: OPA Report of Upcoming Events Date(s): Date of Report Describe/Content: <u>Official Record</u> . Weekly report to the Office of Public Affairs providing status of press/media participation.	Order: Chronological by Date Cut-Off: End of fiscal year Destroy: TEMPORARY. Destroy/delete 3 years after cut-off. Authority: Unscheduled	Filed: Central Files (O-Drive) Custodian(s): Bryan Ballmann / Administrative Staff Medium: Electronic
ODEP	RPT	31	Operating Plan			
		01	a	Label: DOL-ODEP Scorecards Date(s): mm/dd/yyyy – mm/dd/yyyy Describe/Content: Includes scorecards reports and ratings for Strategic Planning, Internal Controls, as well as the Balanced Scorecard.	Order: Chronological by Date Cut-Off: End of fiscal year. Destroy: TEMPORARY. Retire to FRC 5 years after cut-off. Destroy/delete 5 years after cut-off. Authority: Unscheduled	Filed: Workstation and Central Files Custodian(s): Myrian Myer Medium: Media-Neutral
ODEP	NON	32	Non-Record Material			

ODEP's File Code				Document/Folder Title	File Arrangement	File Location/
			b	Label: ODEP Performance and Accountability Report (ODEP-PARS) Date(s): mm/dd/yyyy - mm/dd/yyyy Describe/Content: <u>Official Record Copy.</u>	Order: Chronological by Date Cut-Off: End of fiscal year. Destroy: TEMPORARY. Retire to FRC 5 years after cut-off. Destroy/delete 5 years after cut-off. Authority: Unscheduled	Filed: Workstation and Central Files Custodian(s): Bennie Barton / COR Medium: Media-Neutral

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