

*Submitted to the RO
on 3/23/2016*

RECORD NAME	RECORDS SCHEDULE	DISPOSITION	LOCATION
<p>Administrative Files – Routine</p> <ul style="list-style-type: none"> • Administrative Files • Budget –General • Building Management –General • Communications Records • Correspondence –General • Cost Accounting Records and Reports • Equal Employment Opportunity • Finance; Information Assets / Records • Information Services • Information Systems / Technology • Motor Vehicle Maintenance and Operations • Pay and Benefits • Procurement • Time and Attendance Source Records • Training Records -EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency • Travel and Transportation Records <p>Classification Code: 1556001000</p>	<p>WHD Administration and Management – Item 1</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy seven years after final action. DIGITAL: Delete seven years after final action.</p>	<p>PAPER: File Cabinets in the DO</p> <p>DIGITAL: Budget :RO SharePoint Travel & Transportation: E2 Travel Time & Attendance Records: WebTA Training Records: DOL Learning Link Pay & Benefits: NFC and EOPF Finance Records: AMS & NCFMS Procurement: NCFMS</p>
<p>Correspondence – Significant and Controlled</p> <ul style="list-style-type: none"> • Correspondence controlled by the DOL Executive Secretariat <p>Classification Code: 1557005000</p>	<p>WHD Mission – Item 5 b</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Cut-off annually at end of calendar year. Transfer to Federal Records Center after 3 years. Destroy after 12 years. DIGITAL: Cut-off annually at end of calendar year. Delete after 12 years.</p>	<p>PAPER File cabinets in the DO</p> <p>DIGITAL:</p>

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<p>Credit Card Purchases / Payments</p> <p>Classification Code: 15501-1010</p>	<p>GRS 1.1 – Item 010</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy 6 years after final payment or cancellation. DIGITAL: Delete 6 years after final payment or cancellation.</p>	<p>PAPER: File Cabinets in DO DIGITAL: NCFMS ,P Card /Citibank, and AO’s computer Documents.</p>
<p>Documentation of Enforcement Interventions</p> <ul style="list-style-type: none"> • Full investigations • Limited investigations • Self-audits • Desk audits • Conciliations <p>Classification Code:1557003a00</p>	<p>WHD Mission – Item 3 a</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Transfer to Federal Records Center 3 years after final action. Destroy after 12 years. DIGITAL: Delete 12 years after final action.</p>	<p>PAPER: File Cabinets in DO DIGITAL: WHISARD (minus handwritten documents, correspondence associated with case)</p>
<p>Freedom of Information Act</p> <ul style="list-style-type: none"> • FOIA requests • FOIA responses • FOIA appeals files • FOIA tracking records <p>Classification Code: 1557004000</p>	<p>WHD Mission Records Schedule – Item 4</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Transfer to Federal Records Center 2 years after final action. Destroy seven years after final action. DIGITAL: Delete 7 years after final action.</p>	<p>PAPER: File Cabinets in DO DIGITAL: RO FOIA Sharepoint</p>
<p>General information request files</p> <p>Classification Code:1557003a00</p>	<p>4.2: Information Access and Protection Records / Item 010</p>	<p>Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use.</p>	
<p>New User Computer Security Training</p> <p>Classification Code: 15503-2031</p>	<p>GRS 3.2 – Item 031: Information Systems Security Records</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy 6 years after password is altered or user account is terminated, DIGITAL: Destroy 6 years after password is altered or user account is terminated,</p>	<p>PAPER: File Cabinets in DO DIGITAL: DOL Learning Link</p>
<p>Occupational Injury and Illness Files</p> <p>Classification Code: 1550134000</p>	<p>GRS 1: Civilian Personnel Records – Item 34</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy when 5 years old. DIGITAL: Delete when 5 years old</p>	<p>PAPER: File Cabinets in DO DIGITAL:</p>

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<p>Outreach and public contact</p> <p>Classification Code: 1557005a00</p>	<p>WHD Mission – Item 5 a</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy or delete after 16 years. DIGITAL: Destroy or delete after 16 years.</p>	<p>PAPER: CORPS Records DO File Cabinet</p> <p>Digital: WHISARD</p>
<p>Plans and Reports, Routine</p> <ul style="list-style-type: none"> • No Surprises Report • Weekly Report • Staffing Report • Budget reports <p>Classification Code: 1556002b00</p>	<p>WHD Administration and Management – Item 2 b</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy after 12 years. DIGITAL: Delete after 12 years.</p>	<p>PAPER: DO File Cabinets</p> <p>DIGITAL: Budget Reports in RO Sharepoint</p>
<p>Plans and Reports, Supporting Materials</p> <ul style="list-style-type: none"> • SEAC (Strategic Enforcement Approach to Compliance) <p>Classification Code: 1556002bc0</p>	<p>WHD Administration and Management – Item 2 c</p>	<p>TEMPORARY: If the official recordkeeping copy is: PAPER: Destroy after 12 years. DIGITAL: Delete after 12 years.</p>	<p>PAPER:</p> <p>DIGITAL:</p>
<p>Supervisor’s Personnel Files and Duplicate OPF Documentation</p> <p>Classification Code: 1550118a000</p>	<p>General Records Schedule 1 – Item 18 a</p>	<p>TEMPORARY: Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.</p>	<p>PAPER:</p> <p>DIGITAL:</p>
<p>Surplus Property Case Files - \$25,000 or less</p> <p>Classification Code: 15501-1001</p>	<p>General Records Schedule 1.1 – Item 011</p>	<p>TEMPORARY: Destroy when business use ceases.</p>	<p>PAPER: File Cabinets in DO</p> <p>DIGITAL:</p>
<p>Transitory Files</p> <p>Classification Code: 1552307000</p>	<p>General Records Schedule 23 – Item 7</p>	<p>TEMPORARY: Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems).</p>	<p>PAPER:</p> <p>DIGITAL:</p>

DEFINITIONS

Administrative Files – Routine

WHD Administrative and Management Records Schedule

Item 1: Administrative, General

Temporary administrative support records represented and not represented by the General Records Schedules assigned a common retention

NOTE This does not include Transitory Files which are scheduled under GRS 23, Item 7.

Significant and Controlled Correspondence

WHD Mission Records Schedule

Item 5: Outreach and public contact

These include, but are not limited to, original incoming correspondence from employers, employees, and others concerning WHO or the laws enforced by the Division that require more than routine action or response, a policy decision, or special compilation or research for reply; correspondence to and from members of Congress relating to matters in which they are interested or for constituents requesting information or service from the Department; communications to and from other offices of the Department of Labor; and correspondence with other government departments and agencies.

Credit Card Purchases / Payments

General Records Schedule 1.1: Financial Management and Reporting Records

Item 010: Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Documentation of Enforcement Interventions

WHD Mission Records Schedule

Item 3: Documentation of Enforcement Interventions

Documentation of enforcement interventions conducted under all of the laws enforced by the Wage and Hour Division. These records include, but are not limited to, case files, reports and supporting documentation for interventions including full investigations, limited investigations, self-audits, desk audits, and conciliations. Also includes correspondence between Joint Review Committee, Regional Director, and Regional Attorney concerning potential litigation.

Freedom of Information Act

WHD Mission Records Schedule

Item 4: Freedom of Information Act

Freedom of Information Act requests files, appeals files, control files, reports files, and administrative files documenting responses to requests for information under the Freedom of Information Act. This includes the original request, copy of the reply, and all related correspondence and supporting files responding to the request, including denials and appeals. Also includes files maintained to track and control requests, responses, and appeals; reports and records, recurring reports and one-time information requirements relating to agency FOIA implementation, and files relating to the inadvertent release of privileged information to unauthorized parties.

General information request files

General Records Schedule 4.2: Information Access and Protection Records

Item 010: General information request files

Requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response.

New User Computer Security Training

General Records Schedule 3.2: Information Systems Security Records

Item 031: Information Systems Security Records System access records: Systems requiring special accountability for access.

These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate systems access by users.

These are user identification records associated with systems which are highly sensitive and potentially vulnerable.

Includes records such as:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

Exclusion 1. Excludes records relating to electronic signatures.

Exclusion 2. Does not include monitoring for agency mission activities such as law enforcement.

Occupational Injury and Illness Files

General Records Schedule 1: Civilian Personnel Records

Item 34: Occupational Injury and Illness Files

34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Outreach and public contact

WHD Mission Records Schedule

Item 5: Outreach and public contact

Plain language guidance published and distributed to provide employers, employees, and others with clear and easy-to-understand information about the Wage and Hour Division, the laws enforced by the agency, and how to comply with those laws. These materials provide context relating to interpretation and enforcement of the various requirements and include publications, posters, press releases.

Plans and Reports, Routine

WHD Administrative and Management Records Schedule

Item 2 b: Routine Wage Hour reports of a non-substantive nature

Routine Wage Hour reports of a non-substantive nature. These include, but are not limited to, reports from regional, district, and other offices to the National Office or Regional Offices, regarding staffing, budget, or other matters related to administrative or management functions or activities.

Plans and Reports, Supporting Materials

WHD Administrative and Management Records Schedule

Item 2 c: Plans and Reports -Supporting Materials

Materials used to prepare agency plans and reports, both for internal and external customers. These records include working papers, legal and regulatory compliance files, and background materials generated to comply with the Government Performance Results Act (GPRA) and other legislation. Also includes studies undertaken to develop and guide the development of the plans or reports, documents and supporting materials used to draft the plans and reports (such as the final plan for each individual initiative undertaken as part of the strategic plan), and the quarterly and mid-year reports on the overall plan or report and their components.

Supervisor's Personnel Files and Duplicate OPF Documentation

General Records Schedule 1: Civilian Personnel Records

Item 18 a: Supervisors' Personnel Files

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Surplus Property Case Files - \$25,000 or less

General Records Schedule 1.1: Financial Management and Reporting Records

Item 011: Procuring goods and services

Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services such as utilities, and contracted personnel services to be used by the Federal Government. Paying bills means disbursements of federal funds for goods and services, and fulfilling financial obligations to grant and cooperative agreement recipients. Procurement and payment records include those such as:

- contracts
- requisitions
- purchase orders
- interagency agreements
- Military Interdepartmental Purchase Requests (MIPRs)
- printing requisitions to the Government Printing Office
- memoranda of agreement specifying a financial obligation
- solicitations/requests for bids, quotations or proposals for contracts and competitive grants
- proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants
- contingent fee justifications
- legal and financial instruments such as bond and surety records
- data submitted to the Federal Procurement Data System (FPDS)
- FAIR Act (A-76) records linked directly to specific procurement actions
- credit card/purchase card/charge card statements and supporting documentation
- vendor tax exemption records
- invoices
- leases
- recurring financial transactions such as utility and communications invoices
- documentation of contractual administrative requirements submitted by contractors such as status reports
- correspondence and papers pertaining to award, administration, receipt, inspection of and payment for goods and services in this list
- records of financing employee relocations

Collecting debts includes the collection of income from all sources (excluding taxation). Collections records document collection of monies from all sources excluding administrative claims, taxation (not covered under the GRS), and Congressional appropriation, such as:

- records documenting administration, receipt, and deposit of user fees for entry into and/or use of public facilities; for recovering costs of providing government services; and receipt of donations, bequests, and other collections from the public, including:
 - o cash register transaction records
 - o credit card and charge cards receipts
 - o records documenting deposits
 - o records documenting allocation of fees to funds/accounts
 - o deposit lists and logs
 - o customer orders
 - o revolving fund records
- fee and fine collection records
- garnishments
- sale of excess and surplus personal property
- fee or rate schedules and supporting documentation
- out-leases of Federal property
- debt collection files and cash receipts
- writeoffs
- copies of checks
- payment billing coupons
- letters from lenders
- payment records
- money orders
- journal vouchers
- collection schedules

Accounting is the recording, classifying and summarizing of financial transactions and events related to assets, liabilities, revenue from all sources, and expenses to all payees to support financial reporting, enable audit, and accumulate and generate management information to assist in establishing an agency's resource allocation priorities. Accounting records include those such as:

- accountable officers' records concerned with the accounting for, availability, and status of public funds and maintained for Government Accountability Office (GAO) or other authority site audit, but excluding payroll records, and accounts pertaining to American Indians.

Includes:

- o statements of transactions

- o statements of accountability
- o collection schedules and vouchers
- o disbursement schedules and vouchers
- vouchers
- certificates of closed accounts
- certificates of periodic settlements
- general funds files
- general accounting ledgers
- appropriation, apportionment, and allotment files
- posting and control files
- bills of lading
- transportation and travel requests, authorizations, and vouchers
- commercial freight vouchers
- unused ticket redemption forms

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.

Note 2: Accounts and supporting documents pertaining to American Indians are not authorized for disposal by this schedule. Such records should be reviewed and scheduled appropriately by the agency since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.

Note 3: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

Transitory Files

General Records Schedule 23: Records Common to Most Offices within Agencies

Item 7: Transitory Files.

Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:

Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;

* Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records;

* Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

* Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

