

2nd NCD 19 Nov 80 AH

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
U.S. Department of Labor

2. MAJOR SUBDIVISION
Labor-Management Services Administration

3. MINOR SUBDIVISION
Office of Labor-Management Standards Enforcement

4. NAME OF PERSON WITH WHOM TO CONFER
Paul M. Fitzpatrick
Paul M. Fitzpatrick

5. TEL EXT
523-6859

LEAVE BLANK	
JOB NO	NC1-317-81-1
DATE RECEIVED	November 17, 1980
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>11-19-80</i> Date	<i>Paul M. Way</i> Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>11/13/80</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>J. Lesene</i>	E. TITLE <i>Chief, Division of Records and Reports Management</i>
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>LMSA Records Schedule No. 12</u></p> <p>The Office of Labor-Management Standards Enforcement (LMSE), a component of the Labor-Management Services Administration, provides for the administration and enforcement of the Labor-Management Reporting and Disclosure Act of 1959 and Section 7120 of the Civil Service Reform Act of 1978 (CSRA). 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.</p> <p>This schedule pertains to the disposition of LMSE records in the Regional and Area Offices only.</p> <p>This schedule supersedes portions of NN 165-173, approved 2/25/66 (LMSA Records Schedule No. 1); NN-166-161, approved 4/13/66 (LMSA Records Schedule No. 2); and, NC 1-317-78-2, approved 9/26/76 (LMSA</p>		<i>11 items</i>

*Closed Out: 12-2-80: K.T.D.
Copy sent to Agency, All PRCs, & NNF*

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>LMSE Regional and Area Offices</u></p> <p>1. <u>Field Investigative Case Files.</u> Correspondence complaints, investigation reports, and exhibits relating to compliance and financial investigations. Arranged numerically by case number.</p> <p>(a) <u>Primary Case Files.</u> Accumulated by office assigned primary investigative responsibility.</p> <p><u>Disposition.</u> Remove from active files when case is closed; hold three (3) years, transfer to Federal Records Center, hold seven (7) additional years, then destroy. (NOTE: Cases referred for legal action will be cut off when litigation action is completed or when case is administratively closed.)</p> <p>(b) <u>Auxiliary Case Files.</u> Maintained by the office providing auxiliary investigative support.</p> <p><u>Disposition.</u> Remove from active file when case is closed, hold one (1) year, then destroy. (NOTE: Original exhibits and other records necessary to document the investigation will be forwarded to the office having primary investigative responsibility.)</p> <p>2. <u>Labor-Management Report (LMRDA)</u></p> <p>(a) <u>Labor Organization Information Report.</u> Form LM-1, LM-1A or equivalent; supporting documents including organization constitution and bylaws, trusteeship data (includes LM-6, LM-15/LM-15-A, and LM-16).</p>	<p>NN-166-161, Item 1b. (1)</p> <p>NC-1-317- 78-2, Item 1. NN-166-161 Item 1b(2)</p>	

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	<p><u>Disposition.</u></p> <p>(1) <u>Active Organizations.</u> Retain the Field copy of the original LM-1 and most current LM-1A. Remove all previous amendments and destroy.</p> <p>(2) <u>Cancelled Reports and Reports of Terminated Labor Organizations.</u> Cut off when organization is cancelled or terminated, hold one (1) year, then destroy.</p> <p>(b) <u>Labor Organization Annual Financial Reports.</u> Forms LM-2, LM-3 or equivalent are filed numerically in the appropriate area office by organization.</p> <p><u>Disposition:</u> Cut off annually, hold five (5) years, then destroy.</p> <p>(c) <u>Labor Organization Reports Correspondence File.</u> Contains copies of letters, memoranda, and other records which relate to Forms LM-1, LM-2, LM-3, LM-15/15A, LM-16 or equivalent. Includes such subjects as reporting deficiencies and delinquencies; requests for extension of reporting deadlines; reports of financial audit; position papers on the reporting status of organizations; establishment and discontinuance of trusteeships; union constitution provisions; etc. All correspondence is to be arranged numerically by organization number and filed in the disclosure file.</p> <p><u>Disposition.</u></p> <p>(1) <u>Active Labor Organization.</u> Cut off annually, hold five (5) years, then destroy.</p> <p>(2) <u>Terminated Labor Organizations.</u> Remove from active files, hold one (1) year, then destroy.</p>	<p>NN-166-161, Item 3a. (2)(a)</p> <p>NN-166-161, Item 3a.</p> <p>NN-166-161, Item 3b. (2)</p> <p>NN-166-161, Item 3d. (2)(a)</p> <p>NN-166-161, Item 3d. (2)(b)</p>	

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	<p>(d) <u>Employer Reports</u>. Form LM-10 or equivalent; financial transaction forms completed in accordance with instructions in Form LM-10.</p> <p style="padding-left: 40px;">Disposition. Cut off annually, hold five (5) years, then destroy.</p>	NN-166-161 item 3e2	
	<p>(e) <u>Agreement and Activities Report</u>. Form LM-20 or equivalent.</p> <p style="padding-left: 40px;">Disposition same as for Employer Reports, Item (d) above.</p>	NN-166-161 item 3f2	
	<p>(f) <u>Receipts and Disbursements Report</u>. Form LM-21 or equivalent.</p> <p style="padding-left: 40px;">Disposition same as for Employer Reports, Item (d) above.</p>	NN-166-161 item 3g2	
	<p>(g) <u>Labor Organization Officer and Employee Report</u>. Form LM-30 or equivalent.</p> <p style="padding-left: 40px;">Disposition same as for Employer Reports, Item (d) above.</p>	NN-166-161 item 3h2	