

Request for Records Disposition Authority

Records Schedule Number **DAA-0100-2018-0002**

Schedule Status **Approved**

Agency or Establishment **Occupational Safety and Health Administration**

Record Group / Scheduling Group **Records of the Occupational Safety and Health Administration**

Records Schedule applies to **Agency-wide**

Schedule Subject **Inspections Records System**

Internal agency concurrences will be provided **No**

Background Information **To assure safe and healthful working conditions for working men and women by setting and enforcing standards and by providing training, outreach, education and assistance.**

This schedule covers safety and health inspection records created by OSHA field/area offices. NOTE: Since all records (temporary and permanent) must be electronic by January 2023, the option to send paper records to the Federal Records Center (FRC) is still available and at your discretion. After 2023, only electronic files can be sent to FRC, if necessary.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	0	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0100-2018-0002

Sequence Number	
1	General Materials Disposition Authority Number: DAA-0100-2018-0002-0001
2	Policy Materials Disposition Authority Number: DAA-0100-2018-0002-0002
3	Inspections with Citations issued – No Personal Sampling Disposition Authority Number: DAA-0100-2018-0002-0003
4	Fatalities/Catastrophes Disposition Authority Number: DAA-0100-2018-0002-0004
5	Inspections In-Compliance or No Inspection – No Personal Sampling Disposition Authority Number: DAA-0100-2018-0002-0005
6	Inspections with Personal Sampling Disposition Authority Number: DAA-0100-2018-0002-0006
7	Non-Formal Complaints and Referrals Disposition Authority Number: DAA-0100-2018-0002-0007
8	Invalid Complaints Disposition Authority Number: DAA-0100-2018-0002-0008
9	Whistleblower Investigation Case Files Disposition Authority Number: DAA-0100-2018-0002-0009

Records Schedule Items

Sequence Number	
1	<p>General Materials</p> <p>Disposition Authority Number DAA-0100-2018-0002-0001</p> <p>General correspondence, activity reports, meetings and other materials relating to safety and health inspection and other administrative functions in OSHA's regional/ area/field offices. Does not include advisory committees.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation NC1-100-82-1/1A NC1-100-82-1/1B NC1-100-82-1/3A NC1-100-82-1/3B NC1-100-82-1/4 NC1-100-82-1/5</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at end of fiscal year.</p> <p>Retention Period Destroy no sooner than 3 years after completion or when no longer needed for reference.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Policy Materials</p> <p>Disposition Authority Number DAA-0100-2018-0002-0002</p> <p>Records and other materials reflecting policy, precedent, and the like relating to planning, developing, and directing the federal inspection program. Does not include published instructions, directives, manuals and the like.</p> <p>Final Disposition Temporary</p>

3	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-100-82-1/2
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of fiscal year.
	Retention Period	Destroy when superseded or obsolete.
	Additional Information	
	GAO Approval	Not Required
	Inspections with Citations issued – No Personal Sampling	
	Disposition Authority Number	DAA-0100-2018-0002-0003
	Case files of safety/health inspection relating to a specific safety/health inspection in a specific establishment where violation(s) occurred and/or where citation(s) issued including the General Duty Clause (5(a)(1) of the Act. Includes related follow up inspections and Proposed Modification of Abatement (PMA) monitoring reports.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-100-82-1/7A NC1-100-82-1/7B
	Disposition Instruction	
Cutoff Instruction	Cutoff at the end of fiscal year.	
Retention Period	Destroy 6 years after case is closed.	

	<p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Fatalities/Catastrophes</p> <p>Disposition Authority Number DAA-0100-2018-0002-0004</p> <p>Correspondence, memoranda, inspections, reports and other records involving safety and health fatalities and/or catastrophes including follow-up inspections and Proposed Modification of Abatement (PMA) monitoring reports.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-100-90-1/23A N1-100-90-1/23B</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of fiscal year.</p> <p>Retention Period Destroy 40 years after case is closed.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
<p>4</p>	<p>Inspections In-Compliance or No Inspection – No Personal Sampling</p> <p>Disposition Authority Number DAA-0100-2018-0002-0005</p> <p>Case files of safety inspections and/or health inspections where no violations were cited. Includes inspections where only a safety records review was conducted or consists of inspections where personal sampling data was not collected.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p>
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Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-100-82-1/10A
NC1-100-82-1/10B

Disposition Instruction

Cutoff Instruction Cutoff at the end of fiscal year.

Retention Period Destroy 3 years after case is closed; no transfer to FRC required.

Additional Information

GAO Approval Not Required

Inspections with Personal Sampling

Disposition Authority Number DAA-0100-2018-0002-0006

Case files of health inspections and combined safety/health inspections. Consists of all such inspections, including health and safety in-compliance inspections, where personal sampling data was collected. Includes related follow up inspections and PMA monitoring reports.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-100-82-1/11A
NC1-100-82-1/11B

Disposition Instruction

Cutoff Instruction Cutoff at the end of fiscal year.

Retention Period Destroy 40 years after case is closed.

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Additional Information

GAO Approval Not Required

Non-Formal Complaints and Referrals

Disposition Authority Number DAA-0100-2018-0002-0007

Investigation case files including rapid response investigations (RRI) relating to complaints and referrals concerning unsafe or unhealthy conditions in an establishment. No inspection is made of the establishment. Except non-formal complaints which become formal and result in an inspection, see items 5 and 6 above, as appropriate.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-100-82-1/13A
NC1-100-82-1/13B

Disposition Instruction

Cutoff Instruction Cutoff at the end of fiscal year.

Retention Period Destroy 3 years after case is closed; no transfer to FRC required.

Additional Information

GAO Approval Not Required

Invalid Complaints

Disposition Authority Number DAA-0100-2018-0002-0008

Complaints or fatalities which are not related to occupational safety and health or are not covered by OSHA. Includes appeals where the Area Office Director determines the complaint is invalid for redress and the complainant appeals the decision. Except successful appeals are disposed in accordance with the appropriate item elsewhere in this schedule.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	NC1-100-82-1/20
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of fiscal year.
Retention Period	Destroy when 1 year old; no transfer to FRC required.
Additional Information	
GAO Approval	Not Required
Whistleblower Investigation Case Files	
Disposition Authority Number	DAA-0100-2018-0002-0009
Investigative files and records dealing with employer discrimination or retaliation (under Section 11c of the OSH Act) against employees who report violations of the Act or cooperate with OSHA inspections or any of the more than 20 whistleblower laws. Consists of, but not limited to correspondence, telephone calls/logs, forms, research data, investigation findings, final reports, Alternative Dispute Resolutions (ADR), etc. NOTE: Case file closure/final determination is when all actions at the Agency level are concluded including OSHA participation in litigation.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	NC1-100-82-1/21 NC1-100-77-1/38
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of fiscal year.
Retention Period	Destroy 5 years after case is closed.
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
03/06/2018	Certify	Rachel Vera	U.S. Dept of Labor, Records Management Officer	Office of the Assistant Secretary for Administration and Management - Business Operations Center
10/24/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/26/2018	Concur	Sebastian Welch	Supervisory Archives Specialist	National Archives and Records Administration - ACR4
11/02/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/05/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist