

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-100-92-1	DATE RECEIVED 12-27-91
1. FROM (Agency or establishment) Department of Labor		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Occupational Safety and Health Administration		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Field Offices		DATE <i>for</i> ARCHIVIST OF THE UNITED STATES 4/22/94 <i>James W. ...</i>	
4. NAME OF PERSON WITH WHOM TO CONFER James Lemke	5. TELEPHONE (202) 523-6308		

6. 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 on the attached 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE Kenneth A. Mills	TITLE <i>Kenneth A. Mills</i> DOL Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>The Occupational Safety and Health Administration (OSHA), established pursuant to the Occupational Safety and Health Act of 1970 (29 U.S.C. 651 et seq.), develops and issues regulations; conducts investigations and inspections to determine the status of compliance with safety and health standards and regulations; approves State occupational safety and health programs, policy, standards, procedures, and operations in lieu of Federal inspection; and issues citations and proposes penalties for noncompliance with safety and health standards and regulations.</p> <p>This records disposition schedule covers records related to OSHA State plan approval, monitoring and evaluation and which are located in OSHA field offices.</p> <p>This program allows States to operate their own occupational safety and health program in lieu of the Federal program. The State program must be at least as effective as the Federal program.</p>		

STATE PROGRAMS FIELD OFFICE
RECORDS DISPOSITION SCHEDULE

This records disposition schedule covers State plan-related records held in OSHA regional, area and other field offices. The records listed below are either duplicate copies of records in the National Office in the Directorate of Federal and State Operations, Office of State Programs and Directorate of Administrative Programs, Office of Program Budgeting, Planning, and Financial Management (in Records Disposition Schedule NC100-76-1) or do not hold sufficient value to be considered for long-term or permanent retention. Item 1 of this Schedule supercedes item 28 of Schedule NC1-100-77-1, but only as it relates to State plan records. This Schedule supersedes Records Disposition Schedule NC1-100-77-1, Items 31, 32 and 37. Except for items 31, 32 and 37, Schedule NC1-100-77-1 remains in effect.

The field record copy is held by the regional office unless the regional office determines the area office will maintain the record copy for a particular item on this schedule.

- | <u>Item No.</u> | <u>Description and Disposition</u> |
|-----------------|---|
| 1. | <p><u>GENERAL CORRESPONDENCE.</u> Program correspondence and other materials relating to State plans in general and not limited to a specific State plan. Supersedes NC1-100-77-1, item 28, but only as it relates to State plan records.</p> <p><u>EXCEPTION:</u> This item does not include materials which are part of a directives system or are policy, precedent-setting or procedural materials established by the OSHA National Office, Department of Labor and other Federal agencies or established by an OSHA regional office. These materials are covered in Schedule NC1-100-77-1, Items 23, 28 or 36.</p> <p><u>Disposition:</u></p> <ul style="list-style-type: none">a. <u>Record Copy.</u> Destroy when 3 years old.b. <u>Other Copies.</u> Destroy when 2 years old. |
| 2. | <p><u>PLAN CORRESPONDENCE.</u> Program correspondence and other materials relating to a specific State's plan and not covered under one of the other items in this schedule. Supersedes NC1-100-77-1, item 37.</p> <p><u>Disposition:</u></p> <p>Retire to Federal Records Center (FRC) not later than when 3 years old. Destroy when 10 years old.</p> |
| 3. | <p><u>Plan Files.</u> Program records relating to the development, approval, modification, change and cancellation or revocation of the State plan. This category includes:</p> |

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- Preliminary State plan drafts (with comments).
- The State plan including development and enforcement plans and State Occupational Safety and Health legislation. Does not include drafts.
- Federal or State initiated changes to State plans.
- Federal Register Notices.
- Public comments and transcripts of public hearings.
- Withdrawal of approval of State plan.
- State occupational safety and health (OSH) regulations including State field operations manuals.
- State standards.

- a. PLAN DEVELOPMENT, APPROVAL, MODIFICATION AND REVOCATION. Records relating to the development, approval, modification and revocation or cancellation of the State Plan. Includes final Section 18(e) (P.L 91-596) determination. Also includes changes in the State plan and State legislation. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than 3 years after State plan approval is withdrawn or cancelled. Destroy 10 years after State Plan approval is withdrawn or cancelled. If plan is reinstated within 10 years, incorporate into new State plan files.
- (2) Other Copies. Destroy 3 years after State plan approval is withdrawn or when no longer needed for reference, whichever occurs first.

- b. PLAN, REGULATION AND STANDARD CHANGES. Records relating to Federal and State initiated plan changes, changes in State regulations and standards, State policy changes and other similar plan-related changes. Also includes State field operations manuals and changes. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than 3 years after changes are disapproved, superseded or obsolete. Destroy 10 years after changes are disapproved, superseded or obsolete.
- (2) Other Copies. Destroy when superseded or obsolete.

4. Monitoring and Evaluation. Materials used in evaluating and monitoring State plans including reports, case file reviews,

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spot check monitoring visits, accompanied visits, State variances, State standards, special studies, "CASPA" complaints, and the like.

- CPS 4/21/94*
- a. MONITORING AND EVALUATION MATERIALS. All materials produced or used to monitor or evaluate State plans except those listed in items 4b through 4d below. Supersedes NC1-100-77-1, item ~~31, 32 &~~ 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than ~~when 2 years old or~~ 2 years after closed. Destroy ~~when 5 years old or~~ 5 years after closed, ~~as appropriate.~~
- (2) Other Copies. Destroy when 3 years old or 3 years after closed, as appropriate.

- b. ANNUAL MONITORING AND EVALUATION REPORTS. This category includes:

- Federal annual evaluation reports and State responses.
- State annual reports of State program activity.
- SPAM and other reports used in the development of annual evaluation reports.
- Other materials relating to the annual report.

Supersedes NC1-100-77-1, item 32 & 37.

Disposition:

- CPS 4/21/94*
- (1) Record Copy. Retire to FRC not later than 10 years after all actions have been completed. Destroy ~~10 years after plan approval is withdrawn or cancelled or~~ 20 years after all actions have been completed, ~~whichever occurs first~~ (including plan withdrawal or cancellation).
- (2) Other Copies. ~~Retire to FRC not later than when 2 years old.~~ Destroy when ~~5~~³ years old.

- c. MONITORING AND EVALUATION SUPPORT DOCUMENTATION. This category includes:

- Reviews of State standards.
- Reviews of State case files.
- Accompanied visits.
- Spot Check monitoring visits.
- Reviews of State granted variances.
- Special studies.
- Reviews of State review commission decisions.
- Reviews of internal State training.

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- Other reports relating to monitoring and evaluation support documentation including SPAM reports not used to develop annual evaluation reports.

Supersedes NC1-100-77-1, item 37, 31 and 32.

Disposition:

- (1) Record Copy. Retire to FRC not later than 3 years after all action completed. Destroy 10 years after all action completed.
- (2) Other Copies. ~~Retire to FRC not later than 3 years after all action completed.~~ Destroy ~~6~~ 3 years after all action completed.

- d. COMPLAINTS AGAINST STATE PROGRAM ADMINISTRATION [CASPA]. CASPA records relating to complaints concerning State administrative or compliance policy, procedure, or activity; or operation of the State plan. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than 3 years after closed. Destroy 10 years after closed.
- (2) Other Copies. Destroy when no longer needed.

5. Grants Files. Records relating to State plan grants. State plan grant records under Section 23G of the Act to :

- Identify State needs and responsibilities.
- Develop the State plan.
- Develop State information collection systems.
- Develop plan administration and enforcement.
- Develop experimental and demonstration projects.

Note: Financial records relating to grants are not included in this item except those used solely for program (not administrative) purposes.

- a. PRIMARY GRANT RECORDS. Copies of grant application, award, termination and copy of any end-product materials produced under the terms of the grant.

EXCEPT: Originals of end-product materials which are disposable under Item 3.

Supersedes NC1-100-77-1, item 37.

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Disposition:

- (1) Record Copy. Retire to FRC not later than 3 years after grant completed or terminated. Destroy 10 years after grant completed or terminated.
- (2) Other Copies. Destroy when superseded or obsolete.

- b. OTHER GRANT RECORDS. This item consists of all other records, including routine correspondence, relating to the grant. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than when 2 years old. Destroy when 5 years old.
- (2) Other Copies. Destroy when superseded or obsolete.

6. Cooperative Agreement Files. Records relating to interagency and inter-governmental cooperative agreements relating to State plans. Includes funding agreements with States whose State personnel perform OSHA enforcement activities. This item does not include grants, see item 5.

- a. PRIMARY AGREEMENT RECORDS. This item consists of the agreement, amendments and interpretations or explanations. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Destroy 3 years after agreement terminated or superseded.
- (2) Other Copies. Destroy when superseded or obsolete.

- b. OTHER AGREEMENT RECORDS. This item consists of other records, including routine correspondence, relating to the agreement. Supersedes NC1-100-77-1, item 37.

Disposition:

- (1) Record Copy. Retire to FRC not later than when 2 years old. Destroy when 5 years old.
- (2) Other Copies. Destroy when 3 years old.