

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

2/20/81 M

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

JOB NO
NC1-100-82-1

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

DATE RECEIVED
November 5, 1981

2 MAJOR SUBDIVISION
Occupational Safety and Health Administration

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

3 MINOR SUBDIVISION
Area / District / Field Stations

4. NAME OF PERSON WITH WHOM TO CONFER
James A. Lemke Jr.

5. TEL EXT
653-5870

12-12-83
Date *Robert M. Way*
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 9 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	D SIGNATURE OF AGENCY REPRESENTATIVE	E TITLE
10-29-81	<i>Clair Jackson</i>	Departmental Records Officer

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>This disposition schedule relates to records created by the Department of Labor, Occupational Safety and Health Administration's (OSHA) field offices. This schedule covers records related to the Inspection Record System.</p> <p>The OSHA under the Occupational Safety and Health Act of 1970 has the responsibility "...to assure so far as possible every working man and woman in the Nation safe and healthful working conditions and to preserve our human resources."</p> <p>This schedule supersedes all items in Schedule NC 174-254 dated July 1, 1974 and those items in Schedule NC1 100-77-1 dated November 1, 1977 as identified below but only as those items apply to area offices and the Inspection Record System including inspection case files, establishment files, discrimination files, and other files relating to OSHA Federal compliance activities. This schedule applies to all inspection operations offices consisting of area offices, district offices, and field stations. Includes successor offices and organizations.</p>		

~~MASS DATA CHANGE SHEET ATTACHED~~

40 items

MASS DATA CHANGE SHEET ATTACHED
ALL FRO's sent 12-22-83 by DMW.
NNF sent 12-21-83 by DMW.

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1	<p><u>General Material.</u> General correspondence and other material relating to inspection activities in Federally inspected states.</p> <p>a. <u>Record Copy.</u> Destroy when 3 years old.</p> <p>b. <u>Other Copies.</u> Destroy when 2 years old.</p>	NC1-100-77-1/28	in part only
2	<p><u>Policy Material.</u> Records and other materials reflecting policy, precedent, and the like relating to planning, developing, and directing the Federal Inspection Program. The Agency Record Copy of these documents is maintained in other offices. Does not include published instructions, directives, manuals, and the like.</p> <p><u>Disposition.</u> Destroy when superseded or obsolete.</p>	NC1-100-77-1/22	in part only
3	<p><u>Reports</u> covering all inspection or compliance activities except those which are covered elsewhere in this schedule such as reports properly part of an inspection case file. The Agency Record Copy of substantive reports is maintained in other offices.</p> <p>a. <u>Record Copy.</u> Destroy when 3 years old.</p> <p>b. <u>Other Copies.</u> Destroy when 2 years old.</p>	NC1 100-77-1/33	a and b in part only. p. 14/24/81
4	<p><u>Activity Reports.</u> Periodic summaries of work performed by administrative or program personnel.</p> <p><u>Disposition.</u> Destroy when 2 years old.</p>	NC1-100-77-1/1	in part only

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
5	<p><u>Meetings.</u> Meetings and committees relating to safety and health inspection activities and functions. The Agency Record Copy of these records is maintained in other offices. Does not include advisory committees.</p> <p><u>Disposition.</u> Destroy when 3 years old or when no longer needed for reference.</p>	NCL-100-77-1/28	in part only
6	<p><u>Active/Open Inspection Case Files.</u> Includes all inspection case files upon which an action remains to be completed. Except inspection case files in contest or collection, see items 16 and 17 respectively.</p> <p>a. <u>Record Copy.</u> Place in closed case file after all actions have been completed. See items 7 - 15 below.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the area office (AO) when official file is sent to the AO.</p>	NC 174-254/1	
7	<p><u>Closed Safety Inspections.</u> Safety inspection case files relating to a specific safety inspection in a specific establishment. Includes related follow up inspections and Proposed Modification of Abatement (PMA) monitoring reports. Except health, combined health and safety inspections, General Duty Clause safety inspections, safety incompliance inspections, safety fatality and catastrophe inspections, and safety inspections classified as special interest. See items 8 - 15.</p> <p>a. <u>Record Copy.</u> Transfer to FARC not later than 3 years after case is closed. Destroy 6 years after case is closed.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the AO when official file is sent to the AO.</p>	NC 174-254/1	Dwr 11/9/83
8	<p><u>Safety General Duty Inspections.</u> Case files of safety inspections where General Duty Clause (5a1 of the Act) violations occurred. Includes related follow up inspections and PMA monitoring reports. Except case files involving fatalities or catastrophes, see item 9.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	a. <u>Record Copy</u> . Transfer to FARC not later than 3 years after case is closed. Destroy 10 years after case is closed. b. <u>Other Copies</u> . Destroy material not sent to the AO when official file is sent to the AO.	NC 174-254/1	
9	<u>Safety Fatalities/Catastrophes</u> . Case files of safety inspections involving fatalities and/or catastrophes. Includes related follow up inspections and PMA monitoring reports. Except case files of special interest, see item 14. a. <u>Record Copy</u> . Transfer to FARC not later than 3 years after case is closed. Destroy 10 years after case is closed. b. <u>Other Copies</u> . Destroy material not sent to the AO when the official file is sent to the AO.	NC 174-254/1	Dwr 11/4/83
10	<u>Safety In-Compliance Inspections</u> . Case files of safety inspections where no violations were cited. Includes inspections where only a safety records review was conducted. a. <u>Record Copy</u> . Destroy 3 years after case is closed. b. <u>Other Copies</u> . Destroy material not sent to the AO when the official file is sent to the AO.	NC 174-254/1	
11	<u>Sampling Health Inspections</u> . Case files of industrial hygiene inspections and combined safety and industrial hygiene inspections. Consists of all such inspections, including health and safety in-compliance inspections, where sampling data was collected. Includes related follow up inspections and PMA monitoring reports. Except case files of special interest, see item 14. a. <u>Record Copy</u> . Transfer to FARC not later than 3 years after case is closed. Destroy 40 years after case is closed. b. <u>Other Copies</u> . Destroy material not sent to the AO when the official file is sent to the AO.	NC 174-254/1	Dwr 11/9/83

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
12	<p><u>Non-Sampling Health Inspections.</u> Case files of industrial hygiene inspections and combined safety and industrial hygiene inspections. Consists of inspections where sampling data was not collected. Product and chemical exposure data is not maintained in this file but is placed in the establishment file. Except combined inspections involving safety General Duty Clause inspections, dispose in accordance with item 8.</p> <p>a. <u>Record Copy.</u> Transfer to FARC not later than 3 years after case is closed. Destroy 6 years after case is closed.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the AO when the official file is sent to the AO.</p>	NC 174-254/1	
13	<p><u>Non-Formal Complaints.</u> Inspection case files relating to complaints 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 8 - 12 and X 15, as appropriate.</p> <p>a. <u>Record Copy.</u> Destroy when 3 years old.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the AO when official file is sent to the AO.</p>	NC 174-254/1	Dwr 11/9/83
14	<p><u>Special Interest Inspections.</u> Inspection case files of special interest due to their historical significance or their significant value to OSHA. Most files included in this category will be fatality/catastrophe cases. Cases eligible include those receiving national attention due to Congressional or press interest, those having historical significance, court decisions that significantly interpret legislation or regulations, cases heard by the U.S. Court of Appeals or a higher court, criminal willful violations, certain health cases such as a specific targeted chemical hazard industry, like smelting copper, and which is located within the area office's boundaries. Cases should be extremely unique or highly unusual and should not exceed one percent (1%) of area office inspection case file holdings.</p>		WITHDRAWN

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>a. Record Copy. (Approx. 50 cu. ft. on hand.) PERMANENT. Maintain in the AO. Transfer to FARC not later than 10 years after case is closed and offer to NARS 40 years after case closed.</p> <p>b. Other Copies. Destroy when no longer needed but not later than 10 years after case is closed.</p>	NC 174-254/2	Approx. 5 cu ft WITHDRAWN
15	<p>Non-Fixed Worksite Inspections. Inspection case files involving no fixed worksite such as in the construction industry.</p> <p><u>Disposition.</u> Destroy in accordance with the applicable disposition item.</p>	NC 174-254/1	
16	<p>Contested Cases Duplicate File. This temporary category covers duplicate inspection case files when the estab- lishment or firm appeals a citation or penalty. The original file is sent to the Solicitor and remains there until the appeal is decided. After the original file is returned to the AO, merge the duplicate file into the original file destroying all duplicate documentation.</p> <p><u>Disposition:</u> When the original file is returned to the AO, merge the duplicate file into the original file destroying all duplicate documentation. Dispose in accordance with the applicable inspection case file disposition item.</p>	New item	
17	<p>Collections Cases. This temporary category covers in- spection case files when fines have been levied against a firm or establishment, collection proceedings have begun against the firm, and payment has not be received.</p> <p><u>Disposition:</u> When collection is completed, Dispose in accordance with the applicable inspection case file disposition item.</p>	New item	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
18	<p><u>Establishment Files.</u> Case files of establishments, companies, or firms which do not relate to a specific inspection except as described below. Includes health hazard evaluations, process descriptions, production data, product toxicity data, engineering controls, and other longterm safety and health data and related information of value in preparing for inspections. Also includes product and chemical exposure data when the health inspection did not produce sampling data.</p> <p><u>Disposition:</u> Destroy when establishment or firm no longer exists or when no longer needed, whichever occurs first.</p>	NCL-100-77-1/40	in part only.
19	<p><u>Refused Inspection Files.</u> Records and other materials relating to proposed inspections which did not occur because entry was denied by the establishment and a magistrate, the Solicitor, or the Agency made a determination not to proceed.</p> <p>a. <u>Record Copy.</u> Destroy when 3 years old.</p> <p>b. <u>Other Copies.</u> Destroy when 1 year old.</p>	NCL 74-254/1	
20	<p><u>Invalid Complaints.</u> Complaints 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.</p> <p><u>Disposition:</u> Destroy when 1 year old.</p>	NCL-100-77-1/28	in part only

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
21	<p><u>Discrimination.</u> Records dealing with employer discrimination or retaliation (under Section 11c of the Act) against employees who report violations of the Act or cooperate with OSHA inspections. Consists of copies of materials sent to another office for investigation. Does not include investigative files.</p> <p><u>Disposition:</u> Destroy when 1 year old.</p>	NC1-100-77-1/38 in part only.	
22	<p><u>Repeat Violations.</u> Case files of records documenting previous violations to support repeat violations. Each file consists of the citations issued during an inspection, citation related OSHA 1-B's or equivalent forms including predecessor or successor forms (without sampling data sheets), settlement agreements, and any litigation including a Final Order of the Review Commission or a Court Order.</p> <p><u>Disposition:</u> Destroy when 40 years old, or 2 years after establishment or firm is closed or is sold to new owners, whichever occurs first.</p>	New item.	WITHDRAWN
23	<p><u>Inspection Index File.</u> Card file (OSHA-47 or equivalent including predecessor or successor forms) used to provide reference and case tracking capabilities for the inspection case files. Also includes information maintained in word processing equipment as an alternative to maintaining the OSHA-47 card.</p> <p><u>Disposition:</u> Destroy when no longer needed for reference but not later than 40 years after case is closed or 12 years after state assumes inspection duties.</p>	NC 174-254/3 a and b	

received 6/28/83

Request for Records Disposition Authority - Continuation

JOB NO
NC1-100-82-1

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9

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
22	Withdrawn.		
24	<p><u>Safety Inspections Closed on or before September 30, 1982.</u> Includes all safety inspection case files, except special interest inspections in Item 14.</p> <p>a. <u>Record Copy.</u> Destroy 10 years after case is closed.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the A0 when the official file is sent to the A0.</p>	NC 174-254/1	DWR 11/9/83
25	<p><u>Health Inspections Closed on or before September 30, 1982.</u> Includes all industrial hygiene inspection case files and combined safety and industrial hygiene inspection case files, except special interest inspections in Item 14.</p> <p>a. <u>Record Copy.</u> Destroy 40 years after case is closed.</p> <p>b. <u>Other Copies.</u> Destroy material not sent to the A0 when the official file is sent to the A0.</p>	NC 174-254/1	DWR 11/9/83

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MASS DATA CHANGE WORKSHEET

TYPE OF SCHEDULE

REVISION NEW NC JOB

DATE DISPOSAL AUTHORITY FILE WAS UPDATED

12-27-83

DATE CENTERS MAY BEGIN INPUTTING MASS DATA CHANGES

1-9-84

INPUT CODE

NOT AVAILABLE

INPUT CODE (If available)

PRINTOUT CODE

APPLIES TO RG(S)	OLD AUTHORITY	NEW AUTHORITY	OLD RETENTION PERIOD	NEW RETENTION PERIOD	NET DIFFERENCE IN NO. OF YEARS (+ or -)	MASS CHANGE	MANUAL CHANGE	
100	NC1/100/77/1/28	NC1/100/82/1/1A <u>in part only</u>	Cut off annually at end of <u>fiscal year</u> . Retire to the FARC two years after cut-off. Destroy seven years after cutoff.	Destroy when three years old.	-4		✓	
		NC1/100/82/1/5 <u>in part only</u>		Destroy when 3 years old or when no longer needed for reference.	-4		✓	
		NC1/100/82/1/20 <u>in part only</u>		Destroy when 1 year old.	-6		✓	
	NB: OI reports show no holdings system-wide under above old authority. Records scheduled under new authorities are not eligible for transfer to FARC's due to three-year rule.							
	NC1/100/77/1/38	NC1/100/82/1/21 <u>in part only</u>	Cut off at fiscal year end that case is closed. Retire to FARC three years after cutoff. Destroy five years after cutoff.	Destroy when 1 year old.	-4		✓	
	NC174/254/1	NC1/100/82/1/24A <u>for cases closed on or before 9/30/82</u>	Retain 2 years(FY) in area office after case closed. Transfer file to FRC for 3 years and then destroy.	Destroy 10 years after case is closed.	+5		✓	
		NC1/100/82/1/25A <u>for cases closed on or before 9/30/82</u>		Destroy 40 years after case is closed.	+35		✓	
	NB: OSHA has agreed to assist the FARC'S in identifying these two new series in all accessions covered by items 24A and 25A.							
	NC174/254/1	<u>For all cases closed after 9/30/82, the new authorities listed below apply.</u>						

MASS DATA CHANGE WORKSHEET

TYPE OF SCHEDULE
 REVISION NEW NC JOB

DATE DISPOSAL AUTHORITY FILE WAS UPDATED		DATE CENTERS MAY BEGIN INPUTTING MASS DATA CHANGES		INPUT CODE <input type="checkbox"/> NOT AVAILABLE	INPUT CODE (If available)	PRINTOUT CODE		
APPLIC(S) TO RG(S)	OLD AUTHORITY	NEW AUTHORITY	OLD RETENTION PERIOD	NEW RETENTION PERIOD	NET DIFFERENCE IN NO. OF YEARS (+ or -)	MASS CHANGE	MANUAL CHANGE	
100	NC174/254/1	NC1/100/82/1/7A	Retain 2 years (FY) in area office after case closed. Transfer file to FARC for 3 years and then destroy.	Transfer to FARC not later than 3 years after case is closed. Destroy 6 years after case is closed.	+1		✓	
		NC1/100/82/1/8A			Transfer to FARC not later than 3 years after case is closed. Destroy 10 years after case is closed.	+5		✓
		NC1/100/82/1/9A			Transfer to FARC not later than 3 years after case is closed. Destroy 10 years after case is closed.	+5		✓
		NC1/100/82/1/11A			Transfer to FARC not later than 3 years after case is closed. Destroy 40 years after case is closed.	+35		✓
		NC1/100/82/1/12A			Transfer to FARC not later than 3 years after case is closed. Destroy 6 years after case is closed.	+1		✓
		NC174/254/2			NC1/100/82/1/24A	PERMANENT. Retain 2 years (FY) in area office after case closed. Transfer file to FRC and offer to the NA after 5 years.	Destroy 10 years after case is closed.	---
		NC1/100/82/1/25A	Destroy 40 years after case is closed.	---			✓	

8W
12-19-83