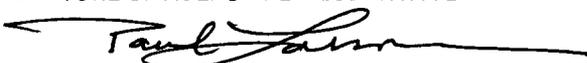


REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-257-87-2	DATE RECEIVED 5-19-87
1 FROM <i>(Agency or establishment)</i> DEPARTMENT OF LABOR		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION BUREAU OF LABOR STATISTICS		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION OFFICE OF PRICES AND LIVING CONDITIONS			
4 NAME OF PERSON WITH WHOM TO CONFER KAREN NUNLEY	5 TELEPHONE EXT 523-1468	DATE 9/27/96	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 80 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is ~~attached~~ ^{PENDING} _{Attached}, or is unnecessary

B DATE 12 MAY 87	C SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE DEPARTMENTAL RECORDS OFFICER
----------------------------	---------------------------------------------------------------------------------------------------------------------------	------------------------------------------------

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	Occupational Safety and Health Statistics Program of the Bureau of Labor Statistics.		

N1-257-87-2

Disposable Items

1a,1; 1b,2; 1c,2; 2-8; 9b; 10-16; 17b; 18-22; 24; 25a; 25c; 26; 30;
31; 32b; 34; 35b; 36; 37; 39ab; 40-43; 45-61; 62b; 63b; 64-84; 86b;
87-96; 97a, 1-4; 97b; 98; 99; 103-106; 108-114; 116-122.

Permanent Items

1a,2; 1b; 1c,1; 9a; 17a; 25b; 32a; 33;35a; 38; 44; 62a; 63a; 86a;
97a,5; 97b; 107; 115ab.

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OFFICE OF SAFETY AND HEALTH WORKING CONDITIONS
BUREAU OF LABOR STATISTICS

a. Mission. To plan, direct, and conduct a program of statistical analysis and occupational injury and illness recordkeeping for National and State program for improved occupational safety and health.

b. Functions

- (1) Provides leadership and policy direction in developing statistical data in the area of occupational safety and health.
- (2) Provides overall direction to staff involved in conducting a statistical and analytical program of occupational injury and illness measures; provides technical support to Regional Offices and States in implementing and maintaining Occupational Safety and Health Statistics Program.
- (3) Advises and conducts with key Departmental officials in planning and implementing the Occupational Safety and Health Program.
- (4) Consults with representatives of labor, other Government agencies, and State agencies to provide information and coordinate efforts.
- (5) Participates with the Commissioner in the formulation of Bureau policy, serves on the Executive Committee.

RECORDS OF THE
OFFICE OF SAFETY AND HEALTH WORKING CONDITIONS
BUREAU OF LABOR STATISTICS

The present Bureau of Labor Statistics Safety and Health Working Conditions Program has its basis in the Occupational Safety and Health Act of 1970. That statute made recordkeeping and reporting of occupational health and safety data mandatory. In 1971, the Secretary of Labor delegated to the Commissioner of the BLS the responsibility for furthering the purposes of the Act "by developing and maintaining an effective program of collection, compilation, analysis and publication of occupational safety and health statistics."

In 1971, BLS established the Office of Occupational Safety and Health Statistics (OSHS). In the BLS matrix type organizational structure and under the leadership of the Associate Commissioner, the Office of OSHS is the program office with overall responsibility for the OSHS program. As the program office, it coordinates and provides leadership to the various support offices of the BLS concerned with OSHS statistics.

These support organizations include the Division of Federal-State Periodic Surveys of the Office of Survey Processing which provides procedure-manual preparation, clerical support, and computer system design and operations. The BLS Office of Field Operations (OFO) is responsible for the activities of the BLS Regional Offices concerned with working directly with State agencies in data collection. The Division of Statistical Methods (SMD) of the Office of Employment and Unemployment Statistics assists with respect to the adequacy of the Survey statistical methodology used and for design of Survey samples.

At the time of this writing, the Office of OSHWC has three major survey programs: (1) the Annual Survey of Occupational Injuries and Illnesses; (2) the Supplementary Data System (SDS) which provides information about the nature and characteristics of reported workers occupational injuries and illnesses; and (3) the Work Injury Report (WIR) Surveys which examine specific types of accidents in the work environment to develop information not available from the Annual Survey or the SDS. In addition to the three major survey programs, the Office of OSHWC has an OSH Recordkeeping Requirements Program. This program involves developing, revising, and maintaining a consistent occupational safety and health recordkeeping system for employees, as required by the Act of 1970, and to direct a program to educate employers, employees, and Federal, State, and local governments concerning the system.

The Office of OSHWC is also increasing the emphasis of its Health Studies Program activities concerned with improving information regarding occupational illnesses, especially those of a chronic or long-term nature.

Results of the Annual Surveys and the WIR Surveys are customarily published in numbered BLS Bulletins and news releases. To assist employers and others involved in the recordkeeping system, guidance is issued in the form of booklets and pamphlets. Selected time series data from the Annual Survey data will be available from LABSTAT, and State-level data from the Annual Survey are available on microfiche from the National Technical Information Service (NTIS) of the Department of Commerce. Supplementary Data System results are available also from NTIS.

The records for these programs are explained below.

RECORDS OF THE OFFICE SAFETY AND HEALTH WORKING CONDITIONS

1. OSHWC Assistant Commissioner Administrative and Program Subject Files. Consist of general correspondence, inter-office memoranda, and related records maintained for the Associate Commissioner, Office of Occupational Safety and Health Statistics, by the Secretary to that official, reflecting the executive direction of the important OSH statistics programs of the Bureau. The files contain copies of policy correspondence, planning documents, project reports, records pertaining to Office participation in various committees or conferences, reference materials, and the like.

Although containing mostly program documents, a significant portion of the files pertain to internal administration of the OSH programs relating to such topics as personnel administration, budgeting, computer terminals, requisitioning equipment and office services, internal security, etc.

The records are arranged, generally, by subject and date from 1970 to date. Program materials consist of approximately 25 cubic feet.

Retention Period. Break file every 5 years and bring active materials forward as required.

a. ADMIN portion of file:

- 1) Administrative Records: Routing administrative files including travel, equipment and supplies, and internal security portions of the ADMIN File. Transfer to FRC in 5 year blocks. **DESTROY** 5 years after transfer.
- 2) Program Direction Records: All other records in the ADMIN section of the file including but not limited to correspondence, reports, minutes of meetings, and planning documents. **PERMANENT**. Keep in inactive files 5 years, then transfer to FRC. Transfer to National Archives when most recent record is 15 years old.

b. COMMITTEES portion of file:

- 1) Committees for which OSHS provides the chair or serves as coordinator: **PERMANENT**. Keep in inactive files 5 years, then transfer to FRC. Transfer to National Archives when most recent record is 15 years old.

- 2) Records for all other committees: Transfer to FRC in 5 years blocks. **DESTROY** 5 years after transfer.

c. REPORTS portion of file:

- 1) Copies of reports originating in OSHWC. **PERMANENT.** Keep in inactive files 5 years, then transfer to FRC. Transfer to National Archives when most recent record is 15 years old.
- 2) Copies of all other reports. Transfer to FRC in 5 year blocks. **DESTROY** 5 years after transfer.

2. Chronological Correspondence Files. Extra copies of correspondence prepared for signature of the Associate Commissioner of OSHWC, the Commissioner of BLS, or others, arranged by date and kept for convenience of reference.

Retention Period. Breake files every 5 years. Transfer to WNRC (Washington National Record Center) when 5 years old. **Destroy** when 10 years old.

3. Name Personnel Files. Consist of name personnel folders of current and former employees of the Office of Occupational Safety and Health Statistics, containing such documents as requests for personnel actions, copies of personnel actions, performance standards and evaluations, correspondence pertaining to such matters as leave, and the like. Official personnel folders are maintained in the Division of Personnel Organization and Management, BLS Office of Administration. Such records are covered by the Privacy Act.

Retention Period. **Destroy** one year after transfer or separation of employee.

4. Office Time and Attendance Files. Copies of bi-weekly and annual time and attendance records, including flexitime control records, pertaining to employees of the Office of OSHS. Arranged by date. Record files are maintained in the Bureau Office of Administration.

Retention Period. **Destroy** when 3 years old.

OSHC HEALTH STUDIES PROGRAM

As of this writing, OSHS was increasing the emphasis of its Health Studies Program activities involved with improving data regarding occupational illnesses, especially those of a chronic or long-term nature. This will involve such activities as establishing increased liaison with other Federal agencies, State Governments, and other information sources; increased research and analysis of occupational illness data produced by BLS or by other sources; studying the potential utilization of other data collection sources; encouraging the exchange of occupational injury and illness data among data collection sources; and the like.

5. Health Studies Program and Administrative Subject Files. Established to reflect program direction and administration of the Health Studies functions, these files contain general correspondence and related records concerning such matters as liaison with other organizations; presentations at conferences and meetings; agreements (memorandum) of understanding with other organizations; articles for publication in the Monthly Labor Review or issuances of other organizations; research and analysis of occupational injuries and illness data; promotion of collection, exchange, and adequacy of occupational illness data; and other Health Studies projects and activities. Copies of important correspondence, reports, etc., will also be placed in the Associate Commissioner's Administrative and Program Direction Files (Item 1 of this Record Schedule).

Retention Period. Break files every 5 years and bring active materials forward as required. Transfer files to WNRC when 3 years old and **destroy** when 5 years old.

OCCUPATIONAL SAFETY AND HEALTH RECORDKEEPING REQUIREMENTS RECORDS

The Occupational Safety and Health Act of 1970 made recordkeeping and reporting of occupational safety and health data mandatory on the part of employers covered by the statute.

The recordkeeping system, which is the foundation of the Bureau's statistical program in this field, was developed by BLS. Its purposes are to aid the Occupational Safety and Health Administration (OSHA) in setting standards, to assist safety and health officers in identifying hazardous operations, to provide BLS and State agencies with uniform and reliable safety and health statistics, to provide employers and employees with information about conditions at their workplace, and to aid the National Institute for Occupational Safety and Health (NIOSH) in its research. The records must contain information suitable for use by Federal and State safety and health officers, and include sufficient data to help management and employees pinpoint problem areas.

The system involves prescribed forms for recording occupational fatalities, injuries, or illnesses, as well as periodic reporting procedures.

To assist employers and others involved in the recordkeeping system, BLS has issued guidance in the form of pamphlets and booklets. These issuances are updated from time-to-time. In addition, the Bureau Central Office and its Regional Offices provide training to employers, employees and others in utilizing the materials.

6. Recordkeeping Requirements Administrative Subject Files. Consist of administrative files maintained by the Secretary for the Division of Recordkeeping Requirements and Quality Assurance concerning such internal administrative matters as requisitions for printing, supplies, forms, etc.; employee travel; personnel; responding to requests for OSHS recordkeeping publications; and the like.

Retention Period. Brake files every 3 years. Transfer to WNRC when 3 years old and **destroy** when 5 years old.

7. OSH Recordkeeping Requirements Program Subject Files. Consist of materials related to the Division's involvement in various aspects of the OSH recordkeeping requirements activities. Included are such materials as Division copies of correspondence; internal memoranda; longhand notes; reference documents such as convenience copies of program bulletins/updated memoranda; agenda, announcements, notes and meeting minutes of the Committees on Occupational Safety and Health of the Business Research Advisory Council (BRAC) and of the Labor Research Advisory Council (LRAC), and the like.

The files concern such matters as OMB forms clearance, OMB regulatory planning process, recordkeeping determinations, committees on OSH of BRAC and LRAC. Freedom of Information Act, reviews of OSHA inspection reports and related documents, recordkeeping network/regional experts, log review and return, pre-note booklets, monthly inventory reports of forms and issuances stocks, confidentiality, computer printout specs for OSHA 200, OSHA posters, recordkeeping film-cassette packages, training, and the like.

Retention Period. **Destroy** when 10 years old or when no longer needed for current business, as appropriate. Review files at least annually to destroy duplicates and other disposable materials.

8. Recordkeeping Requirements Correspondence Chronological Files. Consist of extra copies of outgoing communications prepared in the OSHS of interest to the Recordkeeping Requirements Staff, arranged by date.

Retention Period. Brake files every 3 years. Transfer to WNRC when 3 years old and **destroy** when 5 years old.

9. OSH Recordkeeping Guidelines and Other Issuances. The Occupational Safety and Health (OSH) Act of 1970 requires covered employers to maintain records of occupational injuries and illnesses. BLS is responsible for administering the recordkeeping system established by the Act.

To assure uniformity, BLS issues instructions (or guidelines) which provide official agency interpretations, answers, and explanations to questions that employers most frequently ask about recordkeeping and reporting of occupational injuries and illnesses. The instructions are revised as required and are available to every covered employer as well as appropriate State officials.

These files contain record copies of booklets (issuances) by BLS bearing such titles as What Every Employer Should Know About OSHA Recordkeeping, a Brief Guide to Recordkeeping Requirements for Occupational Injuries and Illnesses, and Recordkeeping Guidelines for Occupational Injuries and Illnesses. Related news releases are included.

Contents date from 1972 forward, comprise less than one cubic foot, and annual accretion is negligible. Arranged by date.

As of this writing, a complete record set is not assembled, but copies are available in the holdings of the Division of Recordkeeping Requirements.

Retention Period.

- a. Record Copy. **Permanent.** Assemble and maintain a record set. Offer for transfer to the National Archives of the United State in blocks of 15 years when the most recent record is 15 years old.
- b. Other Copies. **Destroy** when no longer needed for current business.

10. OSH Recordkeeping Instructions - Regulations Development and Background Files. These files consist of background and reference materials pertaining to developing and issuing instructions for the recordkeeping required of employers covered by the OSH Act. See preceding Item 9, OSH Recordkeeping Guidelines and Other Issuances.

Included in the files are materials such as copies of correspondence, drafts of instructions, selected Federal Register pages, comments received in response to publication draft issuances as proposed rules in the Federal Register, notes/minutes of meetings pertaining to draft instructions, reference documents such as copies of news releases and older issuances, and the like.

Retention Period.

- a. Duplicate Records and Reference Materials.

After issuing a revision or change to the instructions, review files and **destroy** non-essential reference materials, notes, and duplicate documents.

- b. Other Documents. **Destroy** after issuance of a second succeeding version of the recordkeeping instructions or when no longer needed for current business, as appropriate.

11. OSH Recordkeeping Quality Assurance Project Background. To evaluate and improve the adequacy and accuracy of the employer-maintained records of occupational injuries and illnesses, various actions have been initiated to establish an on-going BLS-OSHA quality assurance program. As of this writing, the program was in the developmental process.

The file includes correspondence and reference materials related to various aspects of the program such as planning, funding, etc. Record copies of official communications are also contained in the OSHS Associate Commissioner's Administrative and Program Direction Files, Item 1 of this Record Schedule.

Retention Period.

- a. If a quality assurance program is established, break files every 5 years and bring active materials forward as required. Transfer to WNRC when 5 years old. **Destroy** when 10 years old.
- b. If a quality assurance program is not established, **destroy** file 10 years after such decision or when no longer needed for current business, as appropriate. Files should also be screened following such decision and non-essential materials such as duplicate documents and reference items destroyed at that time.

12. File of Requests to Use Alternative Supplementary Records of Occupational Injuries and Illnesses. Unless exempted, employers are required to maintain in each establishment a log and summary of all recordable occupational injuries and illnesses for that establishment.

For every injury or illness entered on the log, it is also necessary for the employer to record additional information on an OSHA Form 101, Supplementary Record of Occupational Injuries and Illnesses. The supplementary record contains such data as a description of how the injury or illness occurred, objects or substances involved, the nature of the injury or illness, and parts of the body affected.

The file contains requests from States for BLS approval to use an alternative record medium in lieu of the OSHA form, such as a worker's compensation report. In addition to a copy of a proposed form, the file may include correspondence and related background information.

Retention Period.

- a. Approved Requests. **Destroy** 5 years after a BLS approved State form has been superseded by a subsequent approval of another record form for that State.
- b. Other Requests. **Destroy** when 5 years old or when no longer needed for current business, whichever is later.

OSHC PERIODIC SURVEY RECORDS

To collect, compile, and analyze occupational safety and health statistics, as required by the OSH Act of 1970, BLS conducts the Annual OSH Survey.

Survey data are solicited from employers involved in agricultural production, agricultural services, forestry, and fishing; oil and gas extraction; construction; manufacturing; transportation and public utilities; wholesale trade; retail trade; finance, insurance, and real estate; and service industries (except private households). Data for employees covered by other Federal safety and health legislation are provided by the Mine Safety and Health Administration of the U.S. Department of Labor and the Federal Railroad Administration of the U.S. Department of Transportation. The Occupational Safety and Health Administration collects, compiles, and publishes comparable data for Federal agencies.

The Survey sample selected by BLS consists of approximately 280,000 units in private industry. Because the Survey is a Federal-State cooperative program and the data must meet the needs of participating State agencies, an independent sample is selected for each State. This sample is selected to represent all private industries in the State.

Federal grants covering a portion of the operating cost permit States to develop estimates of occupational injuries and illnesses and to provide the data from which BLS produces national results. National data for selected States which do not have operational grants are collected directly by BLS and by the State agencies under contract. The participating State agencies collect and process the data and prepare estimates using standardized procedures established by BLS to ensure uniformity and consistency among the States.

State agencies mail report forms to selected employers to cover the previous calendar year's experience. For those States not participating in the program, reporting forms are mailed by BLS. Each employer completes a single report form which is used for both National and State estimates of occupational injuries and illnesses. This procedure eliminates duplicate reporting by respondents and, together with the use of identical survey techniques at the national and State levels, ensures maximum comparability of estimates.

Information for the injury and illness portion of the report form is copied directly from the Log and Summary of Occupational Injuries and Illnesses. (This Log is referred to above under OSH Recordkeeping Requirements.) The report form also provides for other data used in constructing the annual National and State OSH statistics. State agency personnel edit the completed report forms and verify apparent inconsistencies. The data are keypunched and mechanically edited.

Each year, beginning with data for 1971, BLS (OSHS) has published a bulletin covering National results. Selected National data are also published in a news release. For a period (1974-1982), BLS also published a series of industry guides which contained selected data and an explanation of how to compute an incidence rate for a firm and how to compare this rate with the national rate for each industry and employment-size group.

In addition, State data on microfiche are available from the National Technical Information Service (NTIS) of the Department of Commerce.

Time series data available from LABSTAT machine readable records will be covered under the records of the Division of Federal-State Period Surveys, OSP.

The Office of OSHWC has the primary responsibility for the production and publication of the statistical data from the Survey. As the BLS program office for the Survey, it provides leadership to the other BLS offices that provide support under the BLS matrix organization. The Division of Federal-State Periodic Surveys of the Office of Survey Processing furnishes clerical support, procedure-manual preparation, and computer system design and operations. The Office of Field Operations is responsible for the activities of the BLS Regional Offices concerned with working directly with State agencies in data collection. The Division of Statistical Methods (SMD) of the Office of Employment and Unemployment Statistics is responsible for the adequacy of the statistical methodology utilized and for design of the State samples of industries.

13. Periodic Survey Program and Administrative Subject Files. Maintained by the Secretary to the Division Chief, the files consist of correspondence, inter-office memoranda, some committee and conference meeting notes and related papers, copies of BLS administrative instructions, extra copies of OSHS input to the President's annual report to Congress on occupational safety and health, machine listings, requisitions for supplies and equipment, Division copies of time and attendance records, training authorizations, travel authorizations and vouchers,

reference copies of publications of other organizations, and the like. The file reflects the interests of the Division Chief in selected administrative matters and the operation of the Annual Survey of Occupational Injuries and Illnesses.

Arranged in alphabetical sequence, the files include such program and administrative subject folder labels as Agriculture, American Public Workers Association, Business Research Advisory Council, Budget, Chronological Correspondence, Data Tapes, Equipment Requisitions, Hours of Work Survey, LABSTAT, Longshoring, Mining Statistics Task Force, Monthly Progress Reports, OSHA High Hazard Industry Planning Guide, OSH Presurvey Test, Annual Survey-Comparing Annual Survey and Workers Compensation Records, Annual Survey-FOSS Specifications, State Caucus Recommendations, Time and Attendance, Travel, etc.

Copies of important correspondence prepared in the Division of Periodic Surveys are also placed in the Associate Commissioner Administrative and Program Direction Files (Item 1 of this Record Schedule).

Retention Period.

- a. Program Records. Break files every 5 years. Transfer to WNRC when 3 years old and **destroy** when 5 years old.
- b. Administrative Records. Break files every 3 years and transfer to WNCR. **Destroy** when 5 years old.
- c. Time and Attendance Records. **Destroy** when 3 years old.

14. State Bulletins - Annual Reports File. Consist of reference and research copies of State Government annual reports or other issuances containing State-oriented occupational injury and illness statistics. The documents are issued mainly by State departments of labor or other State agencies, and some may include information other than OSH-related statistics.

Retention Period. **Destroy** when no longer needed for current business.

15. Periodic Survey's Publication Request File. Consists of communications from various sources, mostly public, requesting copies of OSHS publications, which have been responded to, usually by furnishing a document via a form transmittal card.

Retention Period. **Destroy** when no longer needed for current business.

16. Mailing List Card File. An 8 x 5 card reference file containing names and addresses of employers and other appropriate organizations on the OSHS publications mailing lists maintained by the BLS Office of Publications.

Retention Period. **Destroy** when no longer needed for current business.

17. OSH Annual Survey Publication Files. These files cover publications, based on the annual survey, issued by the Office of Occupational Safety and Health Statistics (OSHS) since its establishment in 1971. They include hard copies of various series that have been issued since 1971. OSHS record copies of pre-1971 issuances on occupational safety and health conditions are covered in the next item in this Record Schedule.

Each year, BLS has published a numbered bulletin covering national results of the annual survey entitled "Occupational Injuries and Illnesses in the United States by Industry." Fatality data are included. This series began with data for 1971 and has been issued annually since then. Selected national data are also issued in a news release that usually precedes the annual bulletin by a few months.

For each of the years of 1974, 1975, and 1976, BLS also published a "Chartbook on Occupational Injuries and Illnesses." This issuance presented national level statistical data in graphic and tabular formats. Because of funding limitations, the series was discontinued after publication of 1976 data in 1978.

In addition, BLS previously issued an annual report series of employer guides for major industry divisions, entitled "Evaluating Your Firm's Injury and Illness Record." This series was published each year, beginning with data for 1974 and was discontinued in 1984, after issuance of 1982 data. These guides provided industry-oriented national level data for a particular year with instructions to help a firm compare its safety record with the record of other firms of a similar size and the industry category as a whole.

As of this writing, there was no single central collection of these issuances, although copies appeared to be available in the various offices of OSHS which could be combined into a single collection.

State-oriented data are covered under "Final OSH State Statistics Listing Files" (Item 19 of this Record Schedule).

Retention Period.

- a. Record Copy. **Permanent.** Review separate files to ensure that as complete as possible record copy set is available. Transfer to WNRC when 5 years old. Transfer to the National Archives of the United States in blocks of 15 years when the latest record is 15 years old.
- b. All Other Copies. **Destroy** when no longer needed for current business.

18. Official Record Copy of Pre-OSHC Publications on Occupational Injuries and Illnesses. These files consist of the Office record copy on paper and microfiche media of BLS publications on occupational safety and health conditions issued before the Office of Occupational Safety and Health Statistics was established in 1971.

Included are copies of BLS numbered bulletins, BLS numbered reports, and news releases concerning industrial accidents, injuries, diseases, mortality, and hygiene. Some relate to industry in general and some to specific industries. The microfiche file is substantially more complete covering about 100 publications while the paper files include only about 30 publications. The news releases are on paper.

The microfiche were produced by the National Technical Information Service of the Department of Commerce, using hard copies of the publications furnished by BLS. The hard copies were never returned to BLS. Also included, however, are microfiche copies of a few of the OSHS annual bulletins issued for the years 1971-1979, the record copies of which are covered in the preceding Item 17 of this Record Schedule.

Filed with the hard copy numbered bulletins, reports, and news releases are some reprints of the Monthly Labor Review, the record copies of which will be covered in the Record Schedule for the BLS Office of Publications.

Retention Period. ~~Change the disposition to temporary.~~
Transfer to WNRC when files are 10 years old. **DESTROY** when files are 30 years old.

19. Final OSH State Statistics (FOSS) Listings Files. Resulting from the Annual Survey, the Final OSH State Statistics (FOSS) present State estimates of occupational injuries and illnesses for some 40 participating States.

For the purposes of the OSH Act of 1970, the term "State" includes a State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Trust Territory of the Pacific Islands. The participating States, which provide OSH data, receive grants to assist them in developing and administering programs dealing with OSH statistics.

The FOSS States forward data through the BLS Regional Offices to the Division of Federal - State Periodic Surveys (F/SPS) of the Office of Survey Processing. The State data may be submitted in magnetic tape or hard copy format or a combination of the two formats. F/SPS processes the FOSS data and furnishes, to the Office of OSHS, FOSS listings by State. Hard copy as well as COM microfiche duplicate listings are furnished.

Each State's listings contain State-level macro-data such as the incidence rates of occupational injuries and illnesses, classified by industry at various SIC levels. The numbers of recorded occupational injuries and illnesses in the State, by industry, also are shown.

Sets of the microfiche copies are maintained also by F/SPS. State data on microfiche are also available from the National Technical Information Service of the Department of Commerce.

Customarily, State Governments publish FOSS tables in their own issuance media. For BLS, however, these Office of OSHS hard copy listings described above comprise permanent record files.

Retention Period.

Temporary. Transfer to WNRC when files are 10 years old.
DESTROY when files are 20 years old.

*20. Confidential Microfiche Files of Annual OSH Survey Respondent Data. From the annual OSH Surveys, confidential information is received through State offices or, in some cases, direct from employers. Participating States, ordinarily, retain the hard copy forms from employers and send magnetic tapes containing establishment data to the Division of Federal/State Periodic Surveys (F/SPS) of the Office of Survey Processing. For the BLS-directly collected States, the hard copy forms are filed by F/SPS.

These files contain COM microfiche copies of machine listings of micro-data received from respondents. Because their contents could identify data sources, the files are considered to be confidential.

Retention Period. **Destroy** when 15 years old or when no longer for current business, as appropriate.

*21. File of Fatality Data Copies of OSH Annual Survey Confidential Report Forms. Consists of extra photocopies of the reporting forms received from respondents in the OSH Annual Surveys, relating to incidents of fatalities. In addition to the forms, worksheets and longhand notes may be included. Original copies of the respondent forms (schedules) are maintained by either the Division of Federal-State Periodic Surveys of the BLS Office of Survey Processing or by the State office which collected the forms. (See Items 65 and 66 of this Record Schedule.)

Retention Period. **Destroy** when 5 years old.

*22. Fatality Data Input Coding Cards. Consist of cards (forms) to which data are posted from the Fatality Data copies of OSH Annual Survey Report forms (Item 21 of this Record Schedule) relating to fatality incidents. Copies of the cards are used as a source for keypunching of data to be entered to the Fatality Data Disk and Tape Files (Item 23 of this Record Schedule).

Retention Period. **Destroy** after next Annual Survey and reporting cycle are completed.

*23. **RESERVED**

*24. Fatality Data Machine Listings Files. Consist of final listings of underlying data used in preparing the fatality information published in the Annual Survey Bulletin. These listings may include analytical, intermediate aggregated national level data, as well as confidential establishment micro-data.

The listings are used by the Office of OSHS staff in reviewing the adequacy of input data and in their analyses and calculations for preparing the annual bulletin. The data are also retained in computer tape files.

Retention Period. **Destroy** when no longer needed for current business.

25. Files of Machine Listings for Monitoring Production of OSH Annual Survey Estimates. Various machine listings of aggregated macrodata are received for review, analysis, and adjustment by the OSHS economists in developing the statistical data to be issued to reflect the results of the Annual Survey. The listings may include aggregated National-level data as well as State-level data.

Copies of the final listings are maintained in central files in hard copy and COM microfiche media. Hard copy listings are normally retained for only the on-going survey-year and the previous survey-year. Microfiche record copies are maintained by the Division of Federal/State Periodic Surveys, OSP.

Following are examples of such annual listings although others may be prepared:

- Reporting Units Solicited and Respondents by Size and Response Type, OSH Survey, Total Sample.
- Distribution of Reporting Unit Lost Workday Case Rates in the OSH Survey.
- Measures and Rates of Occupational Injuries by Size of Reporting Unit within Industry.
- Rates and Percentages of Occupational Injuries by Size of Reporting Unit within Industry.
- Sampling Relative Errors of Occupational Illnesses by Type and by Size of Reporting Unit.

Retention Period.

Modify the retention statement for Item 25b as follows (retention statement proposed by BLS for all microfilm copies is to be used for all but the final microfiche).

- a. Hard Copy Listings. **Destroy** after the next Annual Survey has been completed and results published.
- b. Final microfiche listings. **PERMANENT.** Transfer to the National Archives when 10 years old or no longer needed for current business, whichever is sooner.
- c. All other listings: **DESTROY** when all essential information has been tabulated, analyzed, or issued, as appropriate.

26. Reference Copies of Selected 1972-1975 Annual Survey Machine Listings. For the OSH Annual Survey for 1976 data, BLS converted from the 1967 SIC structure to the 1972 SIC. For use of the Office of OSHS Staff in comparing 1976 and later years' data with 1975 and earlier years, hard copies of selected machine listings for the years 1972, 1973, and 1975 are maintained in these files. The listings contain a mixture of macro-data used in monitoring the production of Annual Survey estimates including but not limited to such tables as: Sampling Variances and Relative Errors of Occupational Injuries by Size of Reporting Unit within Industry; Measures of Occupational Illnesses by Size of Reporting Unit within Industry; and Rates and Percentages of Occupational Injuries by Size of Reporting Unit within Industry.

Retention Period. **Destroy** when no longer needed for current business.

PROGRAM ASSISTANCE RECORDS

The Office of OSHS was being reorganized at the time of the on-site inventory of records for this Records Schedule. Certain program assistance functions, and related records, pertaining to administration of grants to States in implementing a Federal/State system of occupational safety and health statistics, were transferred to the BLS Division of Financial Planning and Management, Office of Administration. Residual Program Assistance and Work Injury Report Survey records are covered below.

27 - 29. **RESERVED**

WORK INJURY REPORT SURVEY RECORDS

The Work Injury Report (WIR) Surveys examine specific types of accidents in the work environment to develop additional information not available from the Bureau's Annual Survey of Occupational Injuries and Illnesses and the Supplementary Data System Program. For these one-time WIR Surveys, subjects are selected by the Occupational Safety and Health Administration and the survey findings assist in the development and improvement of safety standards, compliance strategy, and training programs.

Each survey focuses on the factors associated with a specific type of accident and obtains such data as:

- Specific type of equipment involved.
- Availability and use of protective devices such as machine guards, railings, safety shoes, hard hats, etc.
- Work activity at time of injury.
- Amount of training employee received.
- Characteristics of the injury and the injured persons.

The Work Injury Report information is obtained through survey questionnaires mailed directly to the injured workers. The questionnaires are developed by a task force comprised of representatives from: BLS-OSHS; the Occupational Safety and Health Administration; the National Institute of Occupational Safety and Health (NIOSH) of HHS, and BLS-SMD. State workers' compensation agencies, which cooperate in the program, identify the workers within the scope of survey from information provided by the employer in the First Report of Injury.

The OSHS staff plans and coordinates the Survey, and develops the instructions and forms which are referred to BLS Regional Offices for forwarding to participating State Governments. Schedules received from State Governments are edited by the OSHS staff who also prepare code sheets for contractor key punching. After computer input and processing, the data are reviewed and analyzed by the OSHS staff who develop the report of the results which are published as a numbered BLS Bulletin. On average, two WIR Surveys are conducted annually.

30. Work Injury Report Surveys Program Project Files.

These files contain copies of documents relating to planning and conducting Work Injury Report Surveys such as copies of correspondence, background reference materials (e.g., copies of reports of research by other organizations), copies of instructions and forms used in the surveys, unpublished tabulations, drafts of reports prepared for publication, longhand notes, worksheets, notes regarding meetings, copies of vendors tool and equipment catalogs, and the like.

Arranged by Survey and then by subject, the records typically may concern such topics as General Correspondence, Survey Methodology, Survey Documentation, Pretest, Final Questionnaire and Code Sheet, Manual and Mechanical Editing, Survey Research, and Final Publication (a draft of the document publishing the results). The Survey Documentation folders contain materials related to ADP Support for the Survey, such as a copy of the data collection questionnaire, code sheets, manual edit criteria, electronic record layout, keypunch instructions, mechanical editing criteria, description of Survey questions and coding schemes, and the like. Computer programs are not included; see WIR Survey Data Disk and Tape Files (Item 34 of this Record Schedule).

Retention Period. Break file upon completion of the survey. Transfer to the WNRC when 10 years old or sooner if not needed for current business. **DESTROY** 25 years after completion of the survey.

31. Work Injury Report Surveys Administrative Subject File.

Maintained by the Senior Economist serving as WIR Surveys Project Manager, the file includes materials related to administrative support of the Surveys such as copies of correspondence, longhand notes, specifications for State participation, reference materials, printing cost worksheets, and the like. The file folder labels refer to such topics as Miscellaneous, Financial Information, NIOSH Lathe Study, Inventory (of form and publication stocks), Printing Costs, and Forms and Instructions.

Retention Period. **Destroy** when no longer needed for current business. Screen files annually to destroy obsolete or unneeded items.

32. WIR Survey Bulletins and Other Issuances. BLS, typically, completes two one-time work Injury Report Surveys annually. For each, a numbered BLS bulletin is published announcing the results. For the first few pilot surveys (the first was conducted in 1977-1978), the reports were not published in BLS numbered Bulletins but were compiled in reports for OSHA, other agencies and the public. Copies of both the numbered Bulletins and the pilot reports are included in these files.

The files date from 1978 forward and comprise less than one cubic foot, annual accretion being negligible. Arranged by date.

Retention Period.

- a. Record Copy. **Permanent.** Transfer to WNRC when 5 years old. Transfer to the Archives of the United States in blocks of 15 years when the most recent publication is 15 years old.
- b. Other Copies. **Destroy** when no longer needed for current business.

*33. Confidential WIR Survey Schedules. A file of schedules is maintained for each Work Injury Report Survey. For each case (worker), the documents may consist, typically, of a coding sheet, a WIR Survey questionnaire from the injured worker (not all respond), and a copy of the employer's report of the injury.

Retention Period:

PERMANENT. Transfer to WNRC when no longer needed for reference. Transfer to the National Archives when 30 years old or when no longer needed for current business, whichever is sooner.

*34. WIR Survey Data Disk and Tape Files. Work Injury Report Survey microdata disk and tape files are maintained at a central BLS computer facility.

After the Survey schedules are received from State offices, they are edited by the OSHS staff and code sheets prepared. From the code sheets, data are contractor key punched and input tapes produced, the contents of the input tapes are copied to disk files (on a shared private disk) at a central BLS computer facility, and the input tapes are written over or scratched.

Disk files of Survey microdata having been created, machine editing is performed and the data analyzed and manipulated by the OSHS staff in their activities to prepare a draft BLS Bulletin reporting the Survey results.

After completion of the Survey, the disk files are copied to tapes which are maintained at the BLS central computer facility with duplicate tapes in storage at a remote facility. The mainframe disk files for the survey are scratched. In addition, for security and convenience the files are copied to floppy disks for use on an OSH personal computer. The contents of these residual tape and floppy disk files include confidential respondent and non-respondent microdata from the individual schedules, some analytical working tables, programs, and system documentation.

System documentation is usually developed by the OSHS staff for each WIR Survey. A hard copy document is prepared which includes information such as input/output specifications, a sample copy of the Survey questionnaire, a sample code sheet(s), manual editing criteria, record layouts, keypunch instructions, machine editing criteria, and code structures. This material is usually maintained separately in hard copy format, filed in the WIR Survey Program Project Files (Item 30). Computer programs and related system documentation are retained in the Survey residual tape files mentioned above as well as in machine listing format. These machine listings also contain the microdata from the Survey schedules.

Retention Period.

- a. Residual Microdata Data Tape/Floppy Disk Files. **Destroy** when all essential information has been analyzed, tabulated, or issued or when no longer needed for current business, as appropriate.
- b. System Documentation Machine Readable Files. **Scratch** when related machine readable data files (paragraph a) are scratched.
- c. System Documentation Hard Copy Records. See WIR Program Subject Files (Item 30 of this Record Schedule(s)).
- d. Disk-to-Tape Backup Files. **Scratch** when no longer needed for current business.

OSHC SUPPLEMENTARY DATA SYSTEM RECORDS

The BLS Supplementary Data System (SDS) involves a comprehensive Federal-State Cooperative effort to standardize the statistical presentation of the detailed data received annually from participating States on characteristics of occupational injuries or illnesses of workers. In this annual effort participating States supply BLS data on workers occupational injuries and illnesses derived from State workers' compensation system records in machine-readable format (tapes) using comparable records format and classifications.

Certain data elements describing the nature and characteristics of the reported workers' occupational illnesses or injuries are prescribed by BLS for all States participating in the SDS program. Certain States also provide additional optional descriptive information based on the claim forms made by workers to the State's workers' compensation system.

The SDS program requires close cooperation between the State agencies and the BLS. In order to achieve uniform SDS data, the Bureau establishes conceptual and operational standards in the form of procedure manuals and annual technical memoranda covering the operations. These guides, which are used by the States in reporting on the injuries or illnesses, are developed in consultation with the State agencies.

A key area in achieving uniformity of reported data involves the classification and coding of the characteristics of reported illnesses or injuries in accordance with standards classification systems. State coding is periodically reviewed by BLS Regional Offices. Also, an SDS Interpretations Committee, comprised of BLS Headquarters and Regional personnel and State agency personnel, has been established to resolve differences between the BLS and the States in classifying and coding difficult cases.

The BLS headquarters office also screens and edits all SDS data tapes submitted by States to the BLS to ensure the greatest possible validity of the SDS results.

SDS results are made available to the public through the National Technical Information Service (NTIS) of the Department of Commerce. Two types of SDS data are available. (1) Microfiche of Multi-State aggregated summary tabulations. The tabulations are organized into three State groupings depending on

the types of cases the States report on. Group 1 States report on days of disability and/or medical treatment cases. Group 2 States report on disability cases, and Group 3 States report on closed cases. Individual State summary tabulations are not available at NTIS, but may be available at participating State agencies, or from OSHS headquarters offices or BLS Regional Offices. (2) Machine-readable microdata records (tapes). The same three Multi-State groupings as for microfiche summary SDS data are available at NTIS in magnetic tape format for reported individual case records sanitized to avoid possible identification of the workers involved.

After the completion of an annual SDS collection period, BLS publishes an announcement which describes in detail the types of SDS summary tabulations available at NTIS in microfiche, and the types of individual case record microdata available in magnetic tape format.

35. Record Copy of Hard Copy Supplementary Data System Public Issuances. The SDS program does not issue formal Bulletins as such to disseminate the results of the yearly collection of injury and illness data available from State workers' compensation records aggregated by the SDS program. Instead, the Supplementary Data System program issues in hard copy an announcement and description of the availability of the data of a particular year's collection in microfiche or machine readable format at NTIS.

In addition, the hard copy public issuances file contains separates of SDS program articles included in the Monthly Labor Review, as well as explanatory issuances regarding the program and its available data on workers' injuries and illnesses.

Distribution hard copies of these issuances are also maintained. The file is primarily chronologically arranged. The record copy set comprises about one cubic foot of documents with negligible accretion.

Retention Period.

- a. Record Copy Set. **Permanent.** Transfer to WNRC when 5 years old. Transfer to the National Archives of the United States in blocks of 15 years when the latest record is 15 years old.
- b. All Other Copies. **Destroy** when no longer needed for current business.

36. File of State Publications Based on BLS SDS Data. Certain of the participating States in the SDS program issue annually aggregated worker illness and injury data for a State based on the SDS data furnished to a participating State by the BLS SDS program. The file consists of any copies of such State publications that are furnished to the SDS Division by BLS Regional Offices, and is not necessarily a complete file.

Retention Period. **Destroy** when no longer needed for current business.

*37. SDS Operations Review Files. A key element in the issuance of SDS statistical data is the correct classification by States of the reported injuries or illnesses in accordance with approved SDS program classification patterns. From 1979 through 1981 special Operations Reviews were made by BLS OSHS Regional and headquarters offices of problem classification reports done by the States.

The file, arranged by year and by State thereunder, consists of such documents as: summaries of the various problem classification reports of States, copies of the individual worker injury-illness reports made to State Workers' compensation program that were reviewed by BLS-Headquarters-Regional Offices, and correspondence reflecting the results of these operations reviews formerly carried out.

Under present procedures, a committee composed of State, BLS Regional, and BLS headquarters personnel provides guidance on classification of problem cases.

Retention Period. **Destroy** when 10 years old or when no longer needed for current business, whichever is sooner.

38. OSHS Program Bulletins and Subsequent OSHS Update Memoranda Files. The SDS Division is responsible for the issuance of an informational memorandum periodically to inform BLS headquarters, BLS Regional, and various State personnel concerned with all phases of the BLS OSHS programs of current developments concerning the various activities involved.

From 1971-1981, these informational memoranda were issued periodically as numbered OSHS Program Bulletins, covering numbers 1 through 47, and were kept as a separate file in the SDS Division records. From 1981 to the time of this writing these memoranda were entitled OSHS Update Memoranda, numbers 1 through 20, and were interfiled in the SDS Division Program and Administrative Subject File, (See Item 39 of this Record Schedule).

This small series provides an excellent chronological history of developments and activities concerning all the various OSHS Office programs. It is numerically arranged, and from 1971 to date comprises about 2 cubic feet with negligible accretion.

Retention Period. **Permanent.** Transfer to WNRC when 5 years old. Transfer to the National Archives of the United States in 10 year blocks when the most recent record is 20 years old.

39. SDS Division Program-Administrative Subject File. Consists of copies of some correspondence, committee and conference records, reports, tabular records, background materials and the like pertaining to the SDS program maintained by the secretary to the Division Chief. The file reflects the interests of the Division Chief in selected administrative matters and in the operations of the SDS annual data collection, and covers the period 1971 to the time of this writing.

The file includes in alphabetic sequence such administrative and program subjects as: SDS Announcements, Annual Survey-SDS comparisons, BLS Mail Lists, BRAC, Confidentiality of BLS Data, Federal Agencies, Memos to Files, Travelers and Visitors, Industry Profile, Interdepartmental Meetings, Microfiche Health Bulletins, National Safety Council, National Symposium on Product Safety, OMB Clearance-Background Materials, Office Guidelines, Procurements, Progress Reports, BLS Regions, State Grants, SDS Conferences, SDS Requirements, Training, Taxi Vouchers, Timekeeping, and the like. (See also Item 38 (OSHS Update Memoranda)).

Retention Period.

- A. Administrative Records. Break file every 5 years and transfer to WNRC and **destroy** when 5 years old. Bring forward active files to the new file.
- B. Program Records. Break files every 5 years and bring forward active files to new files. Transfer to WNRC when 5 years old and **destroy** when 10 years old. Review the files at least annually to **destroy** obsolete materials. Retain OSHWC update memoranda as specified in item #38.

40. SDS Chronological Correspondence File. Consists of copies of any documents prepared in the Division, but primarily of copies of incoming and outgoing correspondence or memoranda prepared in the Division and which are filed chronologically. Copies of outgoing correspondence of the Division are also

maintained in the file of the Associate Commissioner for OSHS
(See Item 1).

Retention Period. Break files every 3 years. Transfer to
WNRC when files are 3 years old. **Destroy** when files are 9
years old.

41. SDS Detail Hard Copy Individual State Summary Binder
Files. Hard copy detail summary letter size files are maintained
in binders for two years of collected data, typically two binders
per State, arranged by State.

Within each State binder, the voluminous tables are arranged
numerically by the standard SDS tabular classification table
numbers, and present available summary information on
occupational injuries or illnesses reported on by a particular
State based on the State's workers' compensation system files.

Retention Period. **Destroy** second year's files when replaced
by succeeding current year's data.

42. Multi-State Aggregated Hard Copy SDS Standard
Tabulations Arranged by State Groupings. Consist of Multi-State
aggregated data from States which provide similar kinds of cases
that have been organized into three groupings of States. Group 1
covers annual Multi-State aggregated data submitted by about
eight States and the Virgin Islands, involving medical treatment
and/or disability days.

Group 2 includes annual Multi-State aggregated data
submitted by about 18 States, with each case involving only
disability.

Group 3 includes annual Multi-State aggregated data
submitted by about 10 States, covering closed cases during a
particular year.

The year's binders containing such Multi-State aggregated
data are arranged by the standard numerical table designations
for SDS data.

The file covers 1977, 1980, 1981, and 1983 Multi-State
aggregated data at the time of this writing.

Retention Period. **Destroy** 5 year old files when replaced by
current year's files.

43. SDS Collection Period Technical Notes Files. The files
consist of binders containing the SDS Division set of annual
descriptive Technical Notes, which are prepared in the Division.

These technical notes describe in general the coverage of the SDS program for the year, and for each State included the Notes describe the coverage of the data supplied by the State. Included also are descriptions of the standard ANSI numerical system used for classifying the nature and type of illness or injury, the parts of the body affected, and the like in classifying the tabular data produced.

When States approve the Technical Note prepared in OSHS they are included in the microfiche of State data for the particular year. See next Item (44).

Retention Period. **Destroy** when no longer needed for current business.

44. Microfiche of Individual State and Multi-State Aggregated SDS Data Files. Because of the voluminous nature of the SDS data on characteristics of occupational illnesses or injuries based on State Workers' Compensation System files, only microfiche copies are available in OSHS headquarters office for the annual State or Multi-State results for the earlier collection periods. (For hard copies, see previous Items 41 and 42 covering some of the SDS results.)

The individual State SDS data on microfiche cover the years 1976 to date, with microfiche in nine boxes covering at the time of this writing the results for each collection period including unpublished 1982 and 1984 data. The tabular data are classified in accordance with a modified ANSI standard classification system in describing such matters as the characteristics of the illnesses or injuries or the parts of the body affected or the kind of worker involved, etc. The microfiche within years are arranged by State.

The Multi-State aggregated data are grouped under three categories (1) States reporting cases involving medical treatment and/or disability days, (2) States reporting cases involving only disability, and (3) States reporting closed cases. These Multi-State aggregated data microfiche cover the years 1979, 1980, 1981, and 1983 at the time of this writing, with the microfiche being arranged by year and by State groupings thereunder.

Retention Period. **Permanent.** Offer original camera negative and one duplicate per 36 CFR 1230.26 for transfer to the National Archives of the United States in blocks of 10 years when the most recent record is 20 years old.

45. SDS Frequency Count Multi-State Data Printout Binders. Consist of binders containing printouts involving the three Multi-State groupings of SDS aggregated data providing frequency counts of weighted and total data concerning various characteristics of reported illnesses or injuries, for the three major groupings of States. Files cover the years 1978, 1979, 1980, 1981, and 1983.

Retention Period. **Destroy** when all essential information has been analyzed, tabulated, or published, as appropriate.

46. SDS Reporting State Case Files. The files consist of State case folders reflecting the participation of individual States in the SDS program.

Included in participating State case folders are such documents as (1) copies of SDS tape transmittal forms mailed by the States along with printouts of various summary tables derived from the tapes (such printouts are reviewed and screened by SDS analysts assigned to the particular State to ensure the greatest possible validity of the taped data submitted for each year's survey); (2) copies of the SDS Tabulation Request form sent to the State; (3) copies of OSHS correspondence sent to the appropriate BLS Region releasing the approved SDS State tabulations and technical notes for the particular year; (4) copies of office correspondence to Regions requesting State approval of SDS tabulations and technical notes as well as copies of State forms approving the release of the data; (5) copies of OSHS Program Narrative Statements covering the results of the year's OSHS programs with a particular State including the SDS program; and (6) various miscellaneous papers relating to relations with a State involved in the SDS program.

Retention Period. Break files every 3 years. Transfer to WNRC when files are 3 years old. **Destroy** when files are 6 years old.

47. SDS Non-Standard Tabulations - Requests - Presentations. The file consists of a series of folders covering results of answering non-standard requests for information not normally produced in annual SDS tabulations. Such tabulations may be machine printout or manual tabulations. Also included are several folders representing presentations made concerning SDS data and folders covering questions regarding the coverage or the methods of developing SDS tabulations and the like. Several SDS analysts may include materials in this file.

Retention Period. Break files every 3 years. Transfer to WNRC when files are 3 years old. **Destroy** when files are 6 years old.

48. SDS System Case Classification Interpretation Committee Files. In developing SDS data on occupational injuries and illnesses, there can be questions raised as to the accuracy by various States in subjectively classifying characteristics of a particular injury or illness in accordance with the approved standard classification system.

An Interpretation Committee, comprised of Headquarters, Regional, and State personnel and which is subdivided into several groups, has been established to resolve problem classification cases.

One of the OSHA SDS analysts serves as Secretary to the Committee and maintains the files. These consist of copies of claim forms forwarded for decision by the Committee, mailing records involving sending problem cases to appropriate members for decisions, and records of decisions taken on appropriate classification of individual cases.

Efforts are made to block out entries of claim forms which would identify individuals concerned.

Retention Period. **Destroy** when no longer needed for current business.

RECORDS COMMON TO ALL OFFICES
OF THE
OFFICE OF SAFETY AND HEALTH WORKING CONDITIONS

49. Technical Reference/Working Files. These are extra copies, printed materials, and working paper files of the analysts, economists, or other program personnel of the Office of Safety and Health Working Conditions (OSHWC) covering their particular assigned program areas as well as statistical procedures and methodology and computer technology, and the like.

Retention Period. **Destroy** when superseded, obsolete, or no longer needed for current business, as appropriate.

50. Intermediate Printouts, Job Runs, Worksheets. In carrying out their OSHS Program responsibilities, economists, analysts, or other program personnel may obtain various printouts, job runs, or worksheets, as part of the computer data processing and other support. Typically of a preliminary or intermediate nature, these machine produced listings can involve such production, control and analysis operations as reviewing listings of manually entered data update transactions, analyzing reported survey data, evaluating the validity of survey results, and producing periodic or one-time publication results. Also, involved are worksheet listings concerning answering requests for information; special runs; runs related to developing the computer system involved or improving processing methodology; or to internal administrative or housekeeping matters. Manually prepared listings or worksheets may also be involved.

Listings included in this item are not covered by any other items in the Schedule listed above.

Retention Period. **Destroy** when essential information has been analyzed, tabulated, or issued or when superseded or made obsolete, as appropriate.

51. Intermediate Machine Processing Files. Consist of processing tape or disk files of the OSHS Programs and defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like, covering machine readable records not specifically listed above under items of this Record Schedule for the Office of the OSHWC.

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as appropriate.

52. Word Processing Media Files. Consist of disks, diskettes, or other electronic storage media used in preparing correspondence or other textual or tabular hard copy documents.

Retention Period. **Scratch** or otherwise destroy when all essential information has been analyzed, tabulated, or presented in hard copy document form, or when no longer needed for current business, as appropriate.

53. OSHWC Publications Distribution Files. Consists of extra copies of OSHA publications, news releases, reprints of published articles, and the like, maintained for the convenience of the Office staff in responding to special requests, attending meetings, etc. Record copies of such materials, as applicable to the Office of OSHWC, are covered in other items of this Record Schedule.

Retention Period. **Destroy** when no longer needed for current business.

Reserved

DIVISION OF SAFETY AND HEALTH SYSTEMS
OFFICE OF SURVEY PROCESSING

a. Mission. To design, develop, implement, and operate new or revised survey systems, to carry out processing of data, and to provide a focal point for survey work performed in the Office of Survey Processing.

b. Functions.

(1) Performs the design, development, and implementation of survey systems assigned to the Project Offices in cooperation with all other offices of the Office of Survey Processing and the Program Offices.

(2) Writes, tests, and implements computer programs during the development of a survey system.

(3) Directs the preparation of material necessary to collect all data gathered by the Bureau, including forms, manuals of procedures, and technical directions to the Regional Offices.

(4) Directs the processing of all data collected by the Bureau by mail, personal visit, or through Federal-State cooperative programs.

(5) Maintains data bank to ensure data files are complete, updated, and conform to standards.

RECORDS OF THE
DIVISION OF SAFETY AND HEALTH SYSTEMS (DSHS)

The Division of DSHS, as of this writing, consists of the following primary organizational elements: the Office of the Project Manager, the Universe Maintenance Staff, the OSH/SDS/202 Procedures and Operations Branch, and the OSH/SDS/202 Systems Branch.

Since the BLS Record Schedules have been prepared on a statistical program basis reflecting the matrix organization of the Bureau, records of some F/SPS activities are covered in the Record Schedules for some other programs rather than this Schedule for Occupational Safety and Health Statistics.

The Universe Maintenance Staff (UMS) maintains the Central Business Universe of Business Establishments Data Base from which various sample frames or visitation or other samples are extracted in carrying out statistical programs of BLS. The UMS also is responsible for computer support services to BLS programs other than OSHS. UMS records are covered in the Record Schedule for the Wages and Industrial Relations Statistical Programs.

The records involved in supporting the ES 202 Employment and Wages Statistical Program of the Office of Employment and Unemployment Statistics (OEUS) are covered by the Record Schedule for the OEUS Programs.

Other DSHS records are covered below.

RECORDS OF THE OFFICE OF THE PROJECT MANAGER
DIVISION OF SAFETY AND HEALTH SYSTEMS

54. Project Manager Program Subject Files. Consist of materials reflecting the interests of the Project Manager in the direction of the program activities of the Division of Federal/State Periodic Surveys. The files pertain to the activities of the OSHS surveys such as the Annual Survey of Occupational Injuries and Illnesses and the OSH Supplementary Data System (SDS).

The contents of the files concern such topics as OSH Mining and Railroad Data, OSHA No. 200 Form Memos, OSH FOSS Reports, OSH Trip Reports, OSH Mailing Information Memos, OSH Annual Survey Estimations, SDS Tape Transmittals, SDS Tabulations, SDS Purge Program Memos, SDS Microdata Files, and SDS System Workload. Included in the files are such items as correspondence, copies of notifications for release of data, reports of status of data processing, copies of task force reports, drafts and reference copies of manuals and technical memoranda, reprints of published articles, milestone tables, machine printouts, manually prepared tables and worksheets, longhand notes, and the like.

Retention Period. Break files annually. Transfer when 3 years old to WNRC and **destroy** when files are 6 years old.

*55. Division Administrative Subject Files. Maintained by the Secretary to the Project Manager, these files contain records related to the internal administration or housekeeping activities of the Division of Federal/State Periodic Surveys. In general, these records pertain to such matters as Budgeting, Computer Costs, Computer Accounts, ADP Equipment, Personnel Administration, Leave, Training, Position Descriptions, Monthly Progress Reports, Long Distance Telephone Usage, Tape Disposition Surveys, Requirements for Composition Software and Hardware, Staffing, Security and Sensitive Information, and Travel.

The files consist of such materials as general correspondence, progress reports, copies of BLS administrative instructions, printouts, personnel forms, time and attendance forms, and the like.

Except for sections of the files pertaining to Division copies of personnel actions (arranged by employee name), time and attendance, and position descriptions, the files are broken annually.

Record copies of such files are maintained at central administrative offices of the Bureau.

Some of the records appear to be covered by the Privacy Act.

Retention Period. Break files annually. Transfer when 3 years old to WNRC and **desrtoy** when files are 6 years old.

Except:

- a. Name Personnel Files. **Destroy** 1 year after transfer or separation of employee.
- b. Position Descriptions. **Destroy** when obsolete or no longer needed for current business, as appropriate.
- c. Time and Attendance (including flexitime) Records. **Destroy** when 3 years old.

56. Division Copies of Requisitions for Equipment, Supplies, and Services. These files consist of Division copies of requisitions for equipment, supplies, and services for the Division of Federal/State Periodic Surveys, as well as copies of shipping documents from small package carriers. Record files are maintained in the central administrative offices of the Bureau.

Retention Period. **Destroy** when 1 year old or when no longer needed for current business, whichever is later.

RECORDS OF THE OSH/SDS PROCEDURES BRANCH
DIVISION OF SAFETY AND HEALTH SYSTEMS (DSHS)
OFFICE OF SURVEY PROCESSING

The OSH/SDS Procedures of the Division of DSHS is responsible for supporting Occupational Safety and Health Statistical Programs including: (1) the Annual Survey of Occupational Injuries and Illnesses (referred to as the Annual OSH Survey); (2) the Supplementary Data System (SDS) of annual recorded data collection from the States; (3) the redesigned OSH (ROSH) program; and (4) the Fatal Occupational Injury (FOI) program..

For the Safety and Health Programs, the Branch performs numerous support functions which include, but are not limited to: preparation and maintenance of procedural manuals, technical memoranda, and related forms involving the collection of data for the Annual OSH Survey and SDS Programs; editing and correcting input microdata received from the States, directly collected employers, or other sources; capturing/entering data via terminal to machine-readable records; initiating computer processing services for various phases of the Programs; editing machine listings and distributing machine listings to State agencies and BLS offices involved in the Programs; controlling the transmittal of batches of input data source documents to contract keypunching services; mail-out to Regions, States, BLS-directly collected employers, and others of magnetic tapes, data collection schedules, prenotification materials, machine listings and the like; and maintaining various files including the official copy of data collection schedules received from responding employers in the States for which BLS collected data directly prior to 1989. The Office of Field Operation (OFO) is responsible for data collections schedules from 1989 forward. As for the States which perform data collection, the States retain the hard copy schedules and the establishment micro-data are recorded in F/SPS data files and microfiche files.

In supporting the SDS, the Procedures Branch deals, primarily, in such activities as: preparing required procedure manuals and technical memoranda, review and edit of reported State microdata and of State and Multi-State aggregate tabulations, and the transmittal of clean microdata and the tabular results of the SDS Program to the BLS Regions, the States, the NTIS, and to NIOSH and OSHA.

The work of the Branch staff is intertwined with the activities of the DSHS.

RECORDS OF OFFICE OF THE BRANCH CHIEF
OSH/SDS PROCEDURES BRANCH
DIVISION OF SAFETY AND HEALTH SYSTEMS

57. Procedures Branch Chief Program Subject Files. Maintained by the Branch Chief, these records reflect that official's interests in the direction of the program activities of the Procedures of the DSHS. Consist of a program-subject arranged file pertaining to the areas involved in Branch support of designated programs such as the OSHS Annual Survey, the OSHS Supplementary Data System (SDS), ROSH and FOI.

The files concern such topics as Conferences, Dunn and Bradstreet, OSH Survey Estimates, Correspondence from OSHWC and SMG, Correspondence to OSHS and SMD, Correspondence to Regional Offices, SDS Tabulation Systems, Budgets, Processing Problems and Responses, and Progress Reports. Included in the files are such materials as copies of correspondence, printouts, worksheets, longhand notes, reference copies of printed materials, meeting notes, survey milestones, copies of transmittal forms (S0 17) to Regional Offices giving instructions on materials being forwarded (magnetic tapes, listings, or other information), and the like. Copies of outgoing communications, except S0 17 forms, are also placed in Division-level files.

Retention Period.

- a. Program Files. Break annually and bring forward active materials. Transfer to WNRC when files are 3 years old. **Destroy** when files are 6 years old.
- b. SO-17 Transmittal Forms. **Destroy** when 3 months old or no longer needed for current business, whichever is later.

58. Inactive Program and Administrative Subject Files of Former Branch Chief - Joseph Kennedy. These closed files consist of materials maintained by the former Branch Chief, Joseph Kennedy, related to day-to-day supervision of the Branch's administrative and program activities. They concern such subjects as Budget, ES 202 Conferences, ES 202 Forms, ES 202 Goals, Forms Clearance, Final OSH State Statistics (FOSS), FOSS Error Lists, Milestones, Monitoring, Disclosure, Non-Disclosure, OSH Storage Module, Procedures Manual (drafts), State Progress Reports, SDS Coding, SDS Edit System, SIC Coding SIC Conversion, Survey Operations, Training, Trip Reports, Unemployment Insurance Address File, and material compiled by States (mostly to 1980) concerning operational matters in processing OSH State generated data.

Dating from 1972 to 1984, the files contains such materials as copies of correspondence and internal instructions, copies of publications of BLS and private sources, minutes of meetings, planning milestones for survey programs, printouts, longhand notes, and copies of other reference items.

Retention Period. Transfer records needed for current business to the Procedures Branch Chief Program Subject Files (preceding Item 57). **Destroy** remaining records when 5 years old.

*59. Procedures Branch Administrative Subject Files. Consist of Branch copies of correspondence and form records concerned with internal administration of the Branch, such as: travel authorizations and reimbursement vouchers; time and attendance records; requisitions for equipment, supplies, and services; copies of personnel administration documents; training authorizations; and the like. Official record copies are maintained at higher echelons. Time and attendance records are covered by the Privacy Act.

Retention Period.

- a. Administrative Subject Files. Break files every 3 years. Transfer files to WNRC when files are 3 years old. **Destroy** when files are 5 years old.
- b. Time and Attendance (including flexitime) Records. **Destroy** when 3 years old.

*60. Branch Personnel Name Files. Consist of personnel name files of employees of the Branch. The folders contain such documents as Branch copies of notifications of personnel actions, training authorization; performance evaluations; earnings and leave statements; incidental correspondence about working hours, leave statement, etc.; and the like. Official records are maintained at a higher echelon. Such records are covered by the Privacy Act.

Retention Period. **Destroy** 1 year after transfer or separation of employee.

RECORDS OF SUPERVISOR OF
OSH/SDS PROCEDURES STAFF
OSH/SDS PROCEDURES

61. Program Subject Files of Supervisor, OSH/SDS Procedures and Operations Staff. Consist of copies of correspondence, processing status reports, reference publications, and related records pertaining to unit-level support of the OSHWC Annual Survey. The file folder labels include topics such as Address Corrections for States, Address Data Tapes, Bartlett Amendment, By-Pass Codes, Chron-In, Chron-Out, Communiques--OSH Procedures, County Codes, Confidentiality, Dun and Bradstreet, Edit Criteria, Estimates, Flexitime, Form Letters, OSH Operating Manual, Survey Milestones, State Samples, Survey Requirements, and the like.

Copies of more important outgoing correspondence are also placed in the Project Manager's Program Subject Files (Item 54).

Retention Period. Break files every 3 years. Transfer to WNRC when files are 3 years old. **Destroy** when files are 5 years old.

OSH ANNUAL SURVEY RECORDS
OSH/SDS PROCEDURES

62. Record Copy of OSH Survey Manuals File. From the early 1970s, BLS has maintained an "OSH Survey Operating Manual." Record copies are available of versions issued in 1972, 1974, 1975, 1980, and 1984. Overall revisions are published as appropriate. As required and, usually, at least annually, changes are issued by OSH numbered memoranda which are covered in the following Item 63 of this Record Schedule.

The OSH Survey Operating Manual serves as a procedural guide, primarily, for cooperating State agencies involved in data collected for the Annual Survey of Occupational Injuries and Illnesses. It also provides valuable guidance for BLS Regional Office and Central Office personnel.

The "OSH Survey Refinement Manual" provides guidance to State agencies in refining the BLS-developed sample frame of reporting units for a particular State. Other procedural manuals may be developed as required. These include the ROSH State Operating Manual, ROSH Regional Office Guide, ROSH System Users Manual, and Case Characteristics Coding manual.

The manual issuances are drafted by F/SPS with input from other BLS offices such as OSHS, SMD, and the Office of Field Operations (OFO), as well as from the F/SPS staff. Customarily, a word-processed draft is forwarded to OFO which provides editing, reproduction, and distribution functions.

Arranged by date, the file contains copies of the current manuals together with historical sets of previous issues, dating from 1972 forward. Although there may be some gaps in available copies of older issues, this file comprises the most complete set of OSH Survey Manuals--less than 1 cubic foot and accretion is negligible.

Retention Period.

- a. Record Copy Set of Hard Copies of OSH Manuals, **Permanent.** Break files every 5 years. Offer for transfer to the National Archives of the United States in 15 year blocks when the most recent record is 20 years old.
- b. All Other Hard Copies. **Destroy** when no longer needed for current business.

63. Record Copy Files of OSH Annual Survey Numbered Memoranda. Consist of copies of numbered Occupational Safety and Health Statistics numbered memoranda addressed to State Agencies participating in the Annual OSH Survey and to BLS Regional Commissioners. These issuances provide the addressees detailed instructions for performing the Annual Survey. Changes to OSH Manuals, as well as other guidance, are transmitted via the Memoranda. Additional series of numbered technical memoranda will be initiated as required. At a minimum these will include ROSH numbered memoranda and FOI numbered memoranda.

Procedures for drafting and issuing the Memoranda are generally similar to those for the OSH Operating Manual. See preceding Item 62.

Arranged by date, these files include copies of memoranda dating from 1973 to the present. Although there may be gaps in available copies, this is the most complete set of OSH Memoranda available. Volume is 1 1/2 cubic feet and accretion is negligible.

Retention Period.

- a. Record Copy Set of Hard Copy of OSH Memoranda.
Permanent. Break files every 5 years. Offer for transfer to the National Archives of the United States in 5 year blocks when the most recent record is 20 years old.
- b. All Other Hard Copies. **Destroy** when no longer needed for current business.

64. Reference File of Blank OSH State Employer-Reporting Forms. Consist of reference copies of blank employer-reporting (OSHA 200S) forms used by State agencies in collecting input microdata for the Annual Survey of Occupational Injuries and Illnesses. States may, or may not, use modified versions of the BLS-prescribed OSHA 200S reporting form. The file is arranged in annual sections, and thereunder by Region and State.

Retention Period. **Destroy** when 5 years old or no longer needed for current business, whichever is later.

*65. Confidential COM Microfiche Files of Annual OSH Survey Respondent Data. For the Annual OSH Survey, confidential information is received from State offices or, in some cases, by BLS direct from employers. Participating States, ordinarily, retain the hard copy forms from employers and send to F/SPS magnetic tapes containing establishment data. For the BLS-directly collected/processed States, the hard copy forms are filed by F/SPS (see Item 66). For the magnetic tapes, see Item 96 (Systems Branch Records).

These files contain COM microfiche copies of machine listings of data received from respondents. Because their contents could identify data sources, the files are considered to be confidential.

Copies of the microfiche are maintained also by the Office of Occupational Safety and Health Statistics and by the Systems Branch, F/SPS. See Items 20 and 101, respectively, of this Record Schedule.

Retention Period. **Destroy** when 5 years old.

*66. Confidential OSH Annual Survey Reporting Schedules prior to 1989--Directly Collected States. For the OSH Annual Survey, confidential occupational injury and illness information is collected by BLS directly from sampled employers (data sources) in certain States for which a State agency does not do so. These files consist of the schedules (original hard copy) received from respondents in those BLS-directly collected States. In some instances, included also may be copies of nonresponse schedules; e.g., those mailed by BLS to employers but returned by the Postal Service as undeliverable.

Data from these schedules are entered to the OSH Survey establishment microdata tape files covered by Item 97.

These records are considered to be confidential as their contents would identify data sources.

Retention Period. Transfer when files are 3 years old to WNRC. **Destroy** when files are 5 years old.

67. Files of SO 17 Transmittal Forms. Consist of copies of Form SO 17, Bureau of Labor Statistics Federal/State Transmittal of Data Collection and Processing Material, usually addressed to BLS Regional Offices. Copies are often also furnished State agencies as they, too, may be affected (e.g., magnetic tapes may be forwarded directly to a State agency and both the Regional Office and the State being informed). F/SPS routinely uses the forms to transmit tapes, listings, and information to the Regional Offices and States.

Retention Period. **Destroy** when 3 years old, or when no longer needed for current business, whichever is later.

*68. OSH Survey Sample Development and Refinement Machine Listings. The sample of data sources, selected by BLS for the Annual OSH Survey, consists of about 280,000 units in private industry to represent the approximately five million workplaces within the scope of the Survey. Numerous steps are involved in the development and refinement of the sample. The Procedures Branch, F/SPS, receives many preliminary and final machine

listings that are produced for review/edit, correction, analysis, adjustment, etc. Final listings may be furnished to other BLS offices involved in the Survey, such as the Statistical Methods Group (SMG) of the Office of Employment and Unemployment Statistics, and the Office of OSHWC, as well as to participating State agencies.

The listings may include, but not be limited to, the following examples:

- Summary Listings containing microdata regarding the structure of the sample.
- Unemployment Insurance (U.I.) Reference File Tape Dump Listings containing data on potential data sources derived from the U.I. machine-readable files, which are covered in the Record Schedule for the Office of Wages and Industrial Relations. Data tapes are furnished to the States.
- OSH Sample Tape Dump Listings. Listings of establishments selected as data sources for the Annual Survey. Data tapes are furnished to the States.
- Prenotification Listings of establishments normally exempt from OSHS recordkeeping and reporting, but which are selected as data sources for the next Annual Survey. (Such establishments are to be notified that they must keep the required records for the applicable year.)
- Strip Listings identifying data sources stripped from the U.I. Reference File for such reasons as possible multi-establishment units.
- Pre mailing Master Address File Listings. States are required to submit copies of their refined data/address file containing all BLS identified and State-added sample units (data sources).

Retention Period.

- a. Final Listings, except for the Prenotification Listings. **Destroy** 1 year after completion of the related annual OSH Survey.
- b. Prenotification Listings. **Destroy** after completion of the Annual Survey Cycle to which applicable.

c. Preliminary Listings. **Destroy** when 1 year old or when no longer needed for current business, whichever is earlier.

*69. OSH Multi-Establishment Company Files. Many large businesses have establishments at numerous locations. Reporting consolidated data for all of a firm's establishments could be an arduous task for very large, multi-establishment companies.

These files include folders for participating multi-establishment companies that have provided BLS with lists of their establishments for possible use in sampling for the Annual OSH Survey. Periodically, or when otherwise appropriate (for such reasons as mergers or other reorganizations), the participating companies review and update their lists of establishments. BLS selects a sample of establishments as potential data collection sources for the Annual OSH Survey.

Included in the files are such materials as copies of correspondence, multi-establishment machine listings, worksheets, longhand notes, intra-office communications, and the like.

Since their contents could identify data sources, the files are considered to be confidential.

Retention Period. When companies become nonparticipating, transfer the folders to the inactive section of the files, and **destroy** inactive records when no longer needed for current business. Review files at least annually and **destroy** obsolete reference material such as obsolete listings.

*70. Microfiche Copies of Multi-Establishment Companies Frame Machine Listings. Consist of COM microfiche copies of computer listings containing data pertaining to multi-establishment company locations included in the multi-establishment special frame of companies considered for participation in the applicable year's OSH Survey. Included are such data as establishment name, address, employment level, SIC, etc.

Since their contents would identify data sources, the files are considered to be confidential.

Retention Period. **Destroy** when 5 years old or when no longer needed for current business, whichever is later.

*71. OSH Survey Data Collection Input Processing Listings. In discharging its functions of monitoring input of microdata for the Annual OSH Survey, the Procedures Branch receives hard copy

machine listings of data provided by participating States, or furnished by such sources as the Federal Railroad Administration or the Mine Safety and Health Administration, or directly collected from employers by BLS.

The Systems Branch, DSHS, generates tape file dump listings which are furnished to the Procedures Branch for review. After the Procedures Branch's OSH/SDS Procedures and Operations Staff's review, the tapes may be rerun to produce corrected listings, including subsequent corrections/updates from the States. During the annual cycle, State interim input may be incremental with a final cumulative input of microdata for all reported establishments. The listings may be referred to as Address/Data Tape Listings.

Retention Period.

- a. Preliminary Listings and Error Edit Listings. **Destroy** when no longer needed for current business or after completion of the related Annual Survey cycle, whichever occurs sooner.
- b. Final Listings. **Destroy** after publication of the Annual OSH Survey Bulletin for the related year.

*72. OSH Survey Post-Screening Listings. After the final OSH Address/Data Tapes have been screened through the OSH Data System (see previous Item 71 of this Record Schedule), DSHS produces a variety of hard copy machine listings which are reviewed by the Procedures Branch, which keeps copies. Copies of the listings are also provided to the Office of Safety and Health Working Conditions (OSHWC), Regional Offices, and participating States. The Office of OSHWC staff uses these listings in monitoring and analyzing the collected data for purposes of adjustment, imputation, etc., in developing the statistics resulting from the Annual OSH Survey.

Such microdata listings may include, but may not be limited to, the following examples: Records with Questionable Data, Large Units Which Are Not Used, Records with Significant SIC Code Changes, and Records with Fatality Data.

Retention Period. **Destroy** after completion of the related Annual OSH Survey cycle.

73. Files of Machine Listings of OSH Annual Survey National Estimates Tabulations. These files consist of machine listings of aggregated microdata, at the National and State levels, reflecting the results of the OSH Annual Survey of Injuries and Illnesses. Copies of the final listings are maintained in both hard copy and COM microfiche format. Hard copy and microfiche

copy are furnished also to the Office of OSHWC, for use in producing the statistical data to be issued to reflect the results of the Annual Survey. See Item 25 of this Record Schedule. Copies are also furnished to the SMG. COM microfiche copies are also maintained by the Systems Branch, DSHS (Item 100).

Following are examples of such listings, although others may be prepared:

- Table 1. Reporting Units Solicited and Respondents by Size and Response Types, OSH Survey, Total Sample.
- Table 2.2. Distribution of Reporting Unit Lost Workday Case rates in the OSH Survey.
- Table 3.1. Measures and Rates of Occupational Injuries by Size of Reporting Unit Within Industry in the OSH Survey.
- Table 4.1. Rates and Percentages of Occupational Injuries by Size of Reporting Unit Within Industry in the OSH Survey.
- Table 5. Fatalities and Relative Errors for Units with 11 or More Employees by Size of Reporting Unit and Division, and 5-Year Average of Fatalities for Units With Fewer than 11 Employees.

Retention Period.

- a. Microfiche Records. **Destroy** when 15 years old or when the program office (OSHS) advises that all essential information has been analyzed, tabulated, or issued, whichever occurs later.
- b. Hard Copy Records. **Destroy** when 2 years old.

74. Reference Copies of Final OSH State Statistics (FOSS) Listings. DSHS maintains copies of the final FOSS listings for the Annual OSH Survey in both hard copy and COM (computer output microfiche) format. The listings are described in detail under Item 19 of the records of the Office of Safety and Health Working Conditions (OSHWC) (this Record Schedule). That Item 19 also covers the permanent record copies of these documents.

The FOSS States forward data through BLS Regional Offices to the Division of Federal/State Periodic Surveys. State data may also be submitted in magnetic tape or hard copy format or a combination of the two formats. DSHS processes the FOSS data and furnishes hard copy listings ("administrative tables") by

States to OSHS, BLS Regional Office, the State, and the Regional Office of the Safety and Health Administration. F/SPS also produces COM microfiche listings of the final "administrative tables," which are furnished to OSHS, the BLS Regional Office, and the Occupational Safety and Health Administration-- Washington. Originals of the microfiche are sent to the National Technical Information Service (NTIS), Department of Commerce.

For the tape files, see Item 104.

Retention Period--Procedures Branch.

a. Final DSHS Produced Listings (Administrative Tables).

- (1) Hard Copy. Transfer to WNRC when files are 3 years old and **destroy** when 5 years old.
- (2) Microfiche. **Destroy** when the Program Office (OSHWC) advises that all essential information has been tabulated, analyzed, or issued, as appropriate.

b. State-Generated Listings. **Destroy** when 5 years old.

75. Files of State FOSS Data Reports. Consist of annual packages of forms received from participating States which present State estimates (micro-data) of injuries and illnesses. Typically, the package may include such items as General Survey Information (Form A), Employment and Hours (Form B), Incidence Rates of Recorded Occupational Injuries and Illnesses (Form C), Number of Recorded Occupational Injuries and Illnesses (Form D), and Number of Recorded Occupational Illnesses, By Type, Comments (Form E).

After being edited by the Procedures Branch staff, the report forms serve as source documents for entry of data into the OSH Survey data files maintained by the F/SPS Systems Branch, which are used to generate the Final OSH State Statistics Listings. See preceding Item 74 of this Record Schedule.

Similar data may be submitted by some States on magnetic tapes, which are covered by the F/SPS Systems Branch records.

Retention Period. **Destroy** when the Program Office (OSHWC) advises that all essential information has been tabulated, analyzed, or issued, as appropriate.

76. State Reports of OSH Survey Progress. Consist of monthly State progress status reports regarding preparing for, performing, and completing OSH Annual Survey data collection activities.

Retention Period. **Destroy** when 2 years old.

77. OSH Survey Management and Reference Machine Listings. Consist of hard copies of machine listings, received by the OSH/SDS Procedures Unit, related to management of the OSH Annual Survey such as weekly progress reports and monthly progress reports provided by the Program Analysis and Information Network (PAIN) System.

Retention Period. **Destroy** when no longer needed for current business.

78. OSH Information Journal (Greenbook) Files. Consist of a ledger, maintained by the Procedures Branch staff, containing such materials as copies of the Information Journal sheets which provide details about the OSH Survey address/data tapes received from the States and types of data on the tapes.

Retention Period. **Destroy** when no longer needed for current business.

79. Microfiche and Hard Copy Reference Copies of Dunn and Bradstreet Business Listings. BLS subscribes to a Dunn and Bradstreet service which provides a listing of selected business establishments throughout the United States. This file consists of printed paper and COM microfiche copies of the most recent listing received from Dunn and Bradstreet. As an update set is received, usually at about 6-month intervals, the replaced copies are returned to the source.

Retention Period. Return to source of file when replaced by updated version or when no longer needed for current business, as appropriate.

*80. Returned OSH Survey Prenotification Booklets prior to 1989. For inclusion in a particular year's OSH Survey Sample of reporting establishments, BLS selects a number of establishments that are ordinarily exempt from occupational injury and illness recordkeeping requirements. These establishments are mailed prenotification materials informing them of their selection for inclusion in a subsequent year's reporting and of the OSH recordkeeping requirements for them to follow.

These files consist of prenotification materials returned by the Postal Service as undeliverable.

Retention Period. Transfer to WNRC when files are 3 years old and **destroy** when 5 years old.

*81. OSH Survey Certified Mailing Records prior to 1989. Some data collection sources (employers) in the OSH Survey Sample do not respond to the BLS-mailing of reporting forms. As a response control measure, each significant nonrespondent will be sent a further request by certified mail, accompanied by a return receipt request.

These files pertain to certified mailings to nonrespondents in the BLS-directly collected States. Included in the files are such materials as U.S. Postal Service certified mail receipt cards, lists (by OSH Survey Schedule Number) of nonrespondents sent such mailings, F/SPS Certified Mailing Control sheets, and the like.

Retention Period. Transfer to WNRC when files are 3 years old and **destroy** when 5 years old.

*82. Mail, Batch Control, Machine Run Control Records. Various internal manual controls are maintained by subordinate elements or individuals of the Procedures Branch to keep track of the movement of reporting schedules, magnetic tapes, certain machine printouts, or related documents that are being: sent to Regional Offices or to States; sent to employers in BLS-directly collected States; received from Regions, States, or other data sources; sent to keypunching facilities; or sent to other organizations of BLS. In addition, internal control records may concern machine processing runs which may or may not involve generating machine listings for review and/or distribution.

Included may be logs, keypunch control sheets, OSH (Data Processing) Work Requests, and the like not covered by any other Items of this Branch listed above.

Retention Period. **Destroy** after completion of the related Survey cycle or when no longer needed for current business, whichever occurs sooner.

SUPPLEMENTARY DATA SYSTEM (SDS) RECORDS
OSH/SDS PROCEDURES BRANCH

83. SDS Annual Collection Period Individual State Screening and Processing Hard Copy Files. The files consist of documents pertaining to the receipt and screening of State tapes for a year's collection period. Several years are kept together in these most current sections of the files. Each State's records consist of such documents as: the State tape transmittals, parameter forms for processing State tapes, various printouts involved in the edit and review for revising the State-supplied data such as error listings, request forms for tape processing, and transmittal forms for the Procedures staff to send materials back to the States/Regions for clearance or approval, and the like.

Retention Period. **Destroy** after final processing of two annual collection periods of data for SDS.

84. Inactive SDS Individual State Screening and Processing Hard Copy Files. Files consist of such documents involved in screening or processing SDS data received from States as: purge requests from OSHS for suppression of certain data not to be published; requests from OSHS to prepare State tabulations; copies, arranged by Regions, of correspondence from Regions; copies of transmittal forms for sending SDS materials to States and Regions; and copies of State Technical Notes 1982-1983; and the like.

Retention Period. **Destroy** after production of aggregated tables for that year.

85. **Reserved.**

86. Record Copies of SDS Technical Memoranda and Procedure Manuals. The file consists of the record copies as well as distribution copies of the SDS collection and other procedure manuals prepared in DSHS to provide the greatest possible uniformity of data submitted by individual States. Other internal processing manuals for SDS, such as the Edit System and

the Tabulating System manuals are maintained. Also in the files are records and distribution copies of numerical SDS Technical Memoranda prepared in F/SPS providing detailed instructions regarding the individual annual collection periods of the SDS System.

Retention Period.

- a. Record Copies. **Permanent.** Transfer to WNRC when files are 5 years old. Offer record copy sets for transfer to the National Archives of the United States in blocks of 5 years when the latest record is 20 years old.
- b. All Other Copies. **Destroy** when no longer needed for current business.

87. SDS System Program Subject File. The file consists of the Procedures Staff copies of records pertaining to the SDS systems, including folders for such topics as Data Base, Edit System, Tabulation System, System Tests, and various selected printouts and related materials. The SDS Staff of the Systems Branch is primarily concerned with such systems records.

Retention Period **Destroy** when obsolete or when no longer needed for current business.

88. SDS Procedures Staff Chronological File. Consists of copies of documents, principally internal correspondence, prepared in the Procedures Branch, with some incoming documents attached. The file is arranged by date.

Retention Period. Transfer to WNRC when files are 3 years old. **Destroy** when files are 6 years old.

89. Current SDS Individual State Hard Copy Tabulations Files. Files consist of hard copies of the voluminous (up to 116 tables) tables per individual State generated after F/SPS receives a request from OSHS to generate hard copy State tabulations from edited master tapes prepared for each State. The State tabulations are arranged in accordance with a standard three-digit numerical coding system.

Retention Period. **Destroy** upon approval of final individual State microfiche tabulations (Item 90).

90. SDS Microfiche State Tabulations and Multi-State Aggregate Tabulations. The Procedures Office maintains a set of COM-produced microfiche of approved SDS individual State tabulations and of approved multi-State aggregate tabulations. The BLS record copy of these microfiche is maintained in OSHWC. (See Item No. 44 of this Record Schedule.)

The DSHS copy is for convenience of reference. These fiche represent the microdata tabulations obtained from the State tapes of reported data on occupational injuries and illnesses.

Retention Period. **Destroy** when no longer needed for current business.

OSH/SDS SYSTEMS BRANCH
DIVISION OF SAFETY AND HEALTH SYSTEMS (DSHS)
OFFICE OF SURVEY PROCESSING

The OSH/SDS Systems Branch of the Division of DSHS provides computer systems support for the Occupational Safety and Health Statistics Programs, such as the OSH Annual Survey and the Supplementary Data System (SDS).

For the OSH Annual Survey and the SDS Programs, the Branch is responsible for such activities as: (1) designing and documenting the computerized systems and subsystems for sample development and producing data resulting from the Annual Survey and SDS data collection activities; (2) preparing and updating the various programs involved in maintaining the data files required by Occupational Safety and Health Statistics (OSHS) programs; (3) monitoring the operations of the system components and data files and installing improvements and revisions as needed; and (4) working cooperatively with other BLS organizational units involved such as the Office of Safety and Health Working Conditions, the Statistical Methods Group and the Office of Field Operations, as well as some 50 plus "State" jurisdictions. To provide for uniformity of reporting and efficiency, some OSH Survey computer programs are exported to certain states. The Branch also provides technical assistance to the States involving the latter's utilization of the systems.

In addition to the above, the Systems Branch maintains an on-line Program Analysis Information Network (PAIN) System for providing information regarding State progress toward certain OSH Annual Survey target dates.

Annually, LABSTAT Occupational Injury and Illness Incidence Rate data are updated with input resulting from the OSH Annual Survey.

The OSH Survey System and the SDS data files are tape oriented and are maintained at a central Bureau computer facility with access via on-site terminals.

Work of the Systems Branch is intertwined with that of the Procedures and Operations Branch of F/SPS.

System operations are explained in more detail in the descriptions of the records.

RECORDS OF OFFICE OF THE BRANCH CHIEF
OSH/SDS SYSTEMS BRANCH
DIVISION OF SAFETY AND HEALTH SYSTEMS

91. Systems Branch Chief Program and Administrative Subject Files. Consist of materials on topics pertaining to direction of the program and administrative activities of the Branch. The files concern such subjects as Personnel; Requisitions for Equipment, Supplies, and Services; Travel; Requests for Data Processing Services; OSH/SDS Address Lists; OSH Address System; 3380 Disk; OSH Microdata; State Statistics; Survey Milestones; Trip Report; SDS Aggregated Tables; SDS Classification; SDS Microfiche; SDS Modifications; and SDS Processing.

Included are such materials as copies of correspondence, machine listings, reference documents (e.g., copies of technical memoranda to the Regions and States), requisitions, drafts, etc.

Retention Period.

- a. Program Records. **Destroy** when 3 years old.
- b. Administrative Records. Transfer to WNRC when files are 3 years old. **Destroy** when files are 5 years old.

*92. Branch Time and Attendance Files. Consist of Branch copies of time and attendance and related flexitime records pertaining to employees of the Branch. Official records are maintained at the central BLS Office of Administration. Such records are covered by the Privacy Act.

Retention Period. **Destroy** when 3 years old.

*93. Systems Branch Personnel Name Files. Consist of personnel name files of employees of the Branch. The folders contain such documents as Branch copies of notification of personnel actions, training authorizations, performance evaluations, and incidental correspondence. Official records are maintained in the Division of Organization and Personnel Management.

Such records are covered by the Privacy Act.

Retention Period. **Destroy** 1 year after separation or transfer of the employee.

94. File of Machine Listings of Computer Services Costs. Consist of Branch Chief's convenience copies of machine listing reports, usually monthly, of the costs of computer services. Record copies are maintained at higher echelons of the Bureau.

Retention Period. **Destroy** when no longer needed for current business.

OSH ANNUAL SURVEY RECORDS
OSH/SDS SYSTEMS BRANCH

*95. OSH Survey Sample Development/Preprocessing Data Tape Files. In developing the samples of establishments from which data are to be collected for the OSH Annual Surveys, numerous machine-readable files are created. Sample frame establishment data for a survey are obtained from several sources including: the Unemployment Insurance (U.I.) Files maintained by the Bureau's Universe Maintenance Staff; magnetic tape files of data pertaining to Federal Reserve Banks from the Federal Reserve Board; data concerning other banks from the Federal Deposit Insurance Corporation; mining company data from the Mining Health and Safety Administration; and multi-establishment data generated by DSHS based on information from large firms with many establishments. For the nature of multi-establishment data, see Item 69 of this Record Schedule.

U.I. Reference Tape Files, containing basic identification data regarding businesses tentatively selected for inclusion in a State sample of data sources, are generated for each State. Using such tapes as well as other information available to them and other data subsequently provided by DSHS, such as Special Adds Data Tapes, the States refine their samples. For the some seven BLS-directly collected States, DSHS performs such sample refinement processing.

Special Adds Sample Frames (SPADS) are used to augment the U.I. Sample Frame. Due to some inadequacies of data in the U.I. Data Files for OSH Survey purposes, alternate frames are used for creating SPADS for such industries as banking and for the multi-establishment companies. Tapes containing SPADS data are generated separately from the U.I. Reference Files.

In addition, DSHS generates Prenotification Sample Files from the U.I. System and from SPADS data files. Prenotification Samples include establishments which have been selected for inclusion in the next year's survey, which establishments are usually exempt from OSH recordkeeping requirements. Such selected establishments will be notified by the States (or DSHS for directly collected States) of their responsibility to maintain injury and illness records for the upcoming year. Of course, they will be included in the applicable year's sample of data sources. Sample Survey Data Files are maintained which include microdata such as the number of units (establishments) and the number of employees represented by these units, presented by State, sample source, sample type, industry, and size.

In summary, these files may be categorized as follows:

- (1) Unemployment Insurance Sample Frame Files.
 - (a) Initial Sample Selection Files - data from U.I. System Files.
 - (b) U.I. Reference Tape Files comprise data in (a) converted to the standard OSH 400 character format.
 - (c) U.I. Prenotification Files. "Prenote" unit records stripped from (b).
- (2) Special Adds Samples (SPADS) Data Files.
 - (a) SPADS Frame Data Files. Data from sources described above.
 - (b) SPADS Sample Data Files. Establishment data concerning Prenotification Units and Non-Prenotification Units, the latter to be included in the current survey.

By the end of the processing cycle for the Reference Year, the State data files are stacked onto a few tapes and the individual State tape reels are scratched.

System documentation is maintained on disk and tape (see Item 98). Back-up tapes are generated as required for security.

Because their contents could lead to identification of data sources, these files are considered to be confidential.

Retention Period.

- a. Annual Survey Composite (Stacked) Tape Files. **SCRATCH** after publication of the data for that year or when no longer needed for current business, whichever is sooner.
- b. Back-up Tape Files. **SCRATCH** after publication of data for the year involved or when no longer needed for current business, whichever is sooner.
- c. Preliminary and Intermediate Tape Files. **SCRATCH** when no longer needed for current business.

*96. OSH Address/Data System Data Tape Files. These files reflect results of actions at the State level to: (1) Refine the BLS-provided U.I. Reference Tape Files and the SPADS Sample Data Files (preceding Item 95 of this Record Schedule) and produce Master Address Files; (2) Provide interim clean data indicating

the results of data collection from at least 33% of the State sample of reporting units; and (3) at the close of the Survey, provide final clean data of the cumulative results of completion of data collection from at least 85% of the units in the State sample. For BLS-directly collected States, DSHS performs the data processing support.

These State actions are taken at prescribed times during the OSH Survey, and State-generated tapes are forwarded to DSHS. The tapes are reviewed by DSHS and accepted, corrected, or returned to the States for correction and returned to DSHS, as appropriate.

Microdata from the final clean address/data files, group (3) above, are processed by DSHS and copied to the DSHS Estimation and Variance Systems. See the following Item 97 of this Record Schedule.

Since the contents of these records could identify data sources, the files are considered to be confidential.

Retention Period.

- a. Master Address Data Tape Files (1), and Interim Address Data Tape Files (2). **Scratch** when the Reference Year's final processing cycle is completed or when no longer needed for current business, whichever occurs sooner.
- b. Final Clean Address/Data Tape Files. **Scratch** when 15 years old or when no longer needed for current business, whichever is later.
- c. Preliminary/Intermediate Files and Back-up Tape Files. **Scratch** when no longer needed for current business.

*97. OSH Survey Variance and Estimation System Data Tape Files. These Systems and their files are used to produce the OSH Annual Survey national tabulations which are used by the staff of the Office of Safety and Health Working Conditions (OSHWC) in publishing results of the Annual Survey. Final clean injury and illness microdata (individual establishment data) collected by the States from respondents (or by BLS for directly collected States) are copied to these Systems' Files. See preceding Item 96 of this Record Schedule. In addition, mining establishment microdata received from the Mining Safety and Health Administration (MSHA) and railroad microdata, after preliminary DSHS review-processing, are copied to the Systems Files. Tapes received from MSHA are returned to that agency.

After the Annual Survey processing cycle is completed, microdata (aggregated data) and microdata files of the nature indicated in the following examples are concatenated (stacked) on tapes and the individual input tapes are scratched.

- (1) Target Employment data regarding projected employment in specified SIC groups.
- (2) Benchmark Adjustment data relating to collected estimates based on target employment data.
- (3) Variance System Data - Variances, relative errors, and sample allocation standard deviations.
- (4) Estimation Files containing national tabulations microdata after appropriate adjustments, inputations, etc.
- (5) Final Establishment microdata from sources such as those mentioned above.

State input tapes are returned to the respective State.

Retention Period.

a. Final Annual Data Tape Files.

- (1) Target Employment. **SCRATCH** when 15 years old or when no longer needed for current business, whichever, occurs later.
- (2) Benchmark Adjustments Files. **SCRATCH** when 15 years old or when no longer needed for current business, whichever, occurs later.
- (3) Variance System Files. **SCRATCH** when 3 years old or when no longer needed for current business, whichever occurs later.
- (4) Estimation Files (as transferred to NIOSH and OSHA).
- (5) Establishment Microdata Tapes. **SCRATCH** when the Program Office (OSHWC) advises that all essential information has been tabulated, analyzed, and issued.
 - a) Data currently on hand. **PERMANENT.** Transfer a copy of the files, together with documentation, to the National Archives upon approval of this schedule.

b) Data created subsequent to the approval of this schedule. **PERMANENT.** Transfer a copy of the files, together with documentation, to the National Archives when the data are made available to NIOSH and OSHA.

b. Back-up Tape Files and Preliminary/Intermediate Processing Files. **Scratch** when no longer needed for current business.

98. OSH Survey Computer System Documentation. Program library files are maintained on disk and tape at a central BLS computer facility for the various computer programs required to support the Annual OSH Survey. These files include such programs as source, object, load, and calculation. Hard copy printouts of the programs are also maintained. Documentation includes record layouts and flow diagrams. COBOL and TPL (Table Producing Language) may be used. For DSHS processing.

Listing sheet files and data sets are maintained for job control language (JCL) and procedures used to submit job runs related to the various processing activities.

Also there are various user manuals which may be distributed to the DSHS staff and, as appropriate, to participating State agencies.

Retention Period.

a. Machine Readable and Printout Program Files. **Scratch** or destroy when superseded or 1 year after termination of the applicable system, or whenever related data files are destroyed, as appropriate.

b. Tape Back-up Files. **Scratch** when superseded by next back-up dump.

c. User Manuals Hard Copies. **DESTROY** when no longer needed for current business.

d. JCL Listings. Transfer to WNRC when files are 3 years old and **destroy** when 5 years old.

99. Files of OSH Survey Tape Transmittal. Consist of State folders containing original copies of forms from State agencies to DSHS or copies of forms from DSHS to State agencies, pertaining to transmittal of OSH Survey data tapes by the originator to the addressee.

Retention Period. **Destroy** 5 years after completion of related Annual OSH Survey cycle or when no longer required for current business, whichever occurs later.

100. - 102. **RESERVED**

103. Manual Logs--Other Internal Control Records. Consist of various manual internal control records such as logs of outgoing tapes (e.g., mailed to State agencies), logs of tapes received from state agencies, a register of OSH System tape labels, and the like.

Retention Period. Transfer to WNRC when files are 5 years old and **destroy** when 10 years old.

104. FOSS System Data Tape Files. DSHS maintains the Final OSH State Statistics (FOSS) System which produces State estimates of occupational injuries and illnesses for some 40 participating States. Record copy files of the FOSS estimate tables are covered in Item 19 of this Record Schedule (Office of OSHS). Also see Item 74 of DSHS Procedures and Operations Branch records.

States agencies forward microdata in hard copy or magnetic tape format or a combination of the two formats. Data entry to the FOSS data tape files may be accomplished by either key punching from the hard copy or by processing the State provided data tapes. The State hard copy forms are covered in Item 75 for the Procedures Branch. After error edit/review/correction processing, clean annual State Master Files are created from which the FOSS tables are generated.

During the processing, intermediate State file tapes are created. Following the production of the final FOSS tables for the Office of OSHWC and State agencies, clean Annual Master Files of State FOSS data are stacked on a few magnetic tapes and stored at the central BLS computer facility. The intermediate State data tapes are scratched and the input tapes received from the States are returned to them. For security purposes, back-up dump of disk-to-tape is performed weekly.

Retention Period.

a. Annual Master Data File Tapes. **Destroy** when the Program Office (OSHWC) advises that all essential information has been tabulated, analyzed, or issued, as appropriate.

- b. Back-up Annual Master Data File Tapes. **Scratch** when the primary data files (a. above) are scratched.
- c. Processing Tapes Back-up File. **Scratch** when no longer needed for current business.

105. FOSS System Program Library and Other Documentation. A FOSS System program library is maintained on disk and back-up tape. Hard copy program printouts are maintained by the Systems Branch along with other documentation in a run book containing such materials as run procedural instructions, inputs and outputs definitions, flow charts, record layouts, etc. Some FOSS System background may also be found in the OSH Survey Operating Manual which is covered by Item 62 of the DSHS Procedures Branch Records.

Retention Period.

- a. Machine Readable System Documentation Files. **Scratch** when superseded, or one year after termination of the system, or whenever the related data tape files are scratched, as appropriate. Back-tape files should be scratched when no longer needed for current business.
- b. Record Copy of Hard Copy Documentation. **Destroy** when no longer needed for current business.
- c. Other Hard Copy Documentation. **Destroy** when no longer needed for current business.

106. FOSS Job Control Language Printout Files. Consist of printouts reflecting the programs used and the data generated from FOSS job runs at the central computer facility for FOSS as a result of requests for such services.

Retention Period. **Destroy** after completion of the succeeding year's FOSS processing cycle.

107. OSH Annual Survey LABSTAT Files. On an annual basis to update the LABSTAT Occupational Injury and Illness Incidence Rate Files, DSHS generates intermediate tape files which are used for that purpose. The intermediate tape files are copied to intermediate disk files at a second central BLS computer facility and then to the LABSTAT files.

The data available from LABSTAT consist of incidence rates calculated on a national level, for years 1976 forward, for three categories; (1) injury and illness combined; (2) injury only; and (3) illness only.

The incidence rates for each category are available at the 2-digit SIC industry level in agriculture, forestry, and fishing; the 3-digit level in oil and gas extraction, construction, transportation and public utilities, wholesale and retail trade, and finance, insurance, and real estate, and services; and the 4-digit level in manufacturing.

Estimates or incidence rates for industries are made for various severity classifications. For industry, the incidence rates are available for recordable cases, nonfatal cases without lost work, lost workday cases, and lost workdays. Lost workday cases include both cases involving days away from work and cases involving restricted working activity. The incidence rates are available for both cases, also for both types of lost workdays.

The estimating procedure generates occupational industry and illness estimates for several hundred SIC codes. This data set, however, excludes estimates for several industry codes if one of the following situations occurred:

- a. Estimates for the industry were based on reports from fewer than three companies. Moreover, if three or more companies reported data for the industry, one firm could employ no more than 50 percent of the workers, or two companies combined could employ no more than 75 percent.
- b. Annual average employment for the industry was fewer than 10,000. However, estimates for industry with an annual average employment of less than 10,000 were published if the majority of the employment was reported in the survey.
- c. (1) For years 1976 through 1983, the relative standard error on lost workday cases for the industry at 1 standard error was more than 15 percent in manufacturing and 20 percent in nonmanufacturing.

(2) For years 1984 forward, the relative standard error on total cases for the industry at 1 standard error was more than 15 percent in manufacturing and 20 percent in nonmanufacturing.
- d. The benchmark factor for the industry was less than 0.90 or greater than 1.49.

Data for an unpublished industry were included in the total for the broader industry level of which it is a part.

System documentation consists of the LABSTAT Users Guide, the LABSTAT Directory, and other related program guides.

Retention Period. **Permanent.** Transfer to WNRC when files are 10 years old. Offer for transfer to the National Archives of the United States when 30 years old or upon termination of the program and active reference, or upon mutually agreed on time periods, as appropriate. If State level data are later included in these files the above mentioned retention standard will be applied.

108. PAIN Data Base Disk and Tape Files. The Program Analysis Information Network (PAIN) is an on-line system maintained by DSHS to provide information on State progress toward certain OSH Annual Survey target dates. Monthly machine listing management reports are generated for monitoring Survey progress.

Data entry is accomplished by terminal keyboarding by the DSHS staff. For the most part, source data are obtained from monthly hard copy progress reports from the States. These reports are covered by Item 76 (Procedures Branch records).

An on-line total data base is maintained on disk at the central Bureau computer facility.

A program library is maintained on disk at the central facility. Hard copy system documentation is maintained by the DSHS Systems Branch staff in the form of tape library printouts and a System run book containing such materials as program run instructions for updating, table output and other runs; code tables; samples of source documents; record layouts; etc. COBOL is used.

Retention Period.

- a. Disk Data Files. **Scratch** 5 years after completion of the related OSH Survey cycle, or whenever no longer needed for current business, whichever occurs later.
- b. System Documentation Machine Readable and Hard Copy Files. **Scratch** or **destroy** when superseded, or 1 year after system has been discontinued or related data files scratched, as appropriate.
- c. Back-up Tape Files. **Scratch** when no longer record for current business.

SDS SYSTEM RECORDS
OSH/SDS SYSTEMS BRANCH

109. SDS System Documentation File. The SDS Systems staff has prepared a documentation package, similar to a data dictionary, covering the computerized system records and programs, with updates as required. This small package, maintained in a binder, includes such system descriptive information as:

1. Introduction, flow charts, and sample job control listings.
2. The Expand/Edit Program listing and exhibits.
3. The Edit II program listing and exhibits.
4. The Update program listing and exhibits.
5. The Error list program and exhibits.
6. The Error split program.
7. An Appendix covering record layouts providing information on positions, length, and field name.

The latest version was 1985. Volume and accretion are negligible.

Retention Period. **DELETE** or **DESTROY** when no longer needed for current system use.

110. SDS System Program Files. A series of programs have been developed, maintained, and updated as required to carry out the computerized operations involved in the review and edit of SDS annual collection period data submitted by the States as well as to produce the required tabulation.

The SDS includes such programs as: edit system programs, update programs, error list programs including split programs, various tabulating and print programs, related tables, and the like.

Yearly updates and maintenance are applied to the programs as required.

Programs are maintained on disk at the central Bureau computer facility with periodic monthly disk-to-tape back-ups.

Hard copies of printouts of programs are maintained in the offices of the SDS Systems Group of the DSHS.

Retention Period.

- a. Machine readable and printout program files. **Scratch** or **destroy** when superseded, or 1 year after termination of the applicable system.
- b. Tape Back-up files. **Scratch** when superseded by next back-up.

111. SDS Job Run Request and Log Files. Consist of folders containing copies of requests received from SDS Procedures Group or others for conducting various computer runs. Also included in the file are the log books reflecting the computer runs made based on the requests received.

Retention Period. **Destroy** when 2 years old.

112. SDS Job Control Printout Files. Consist of printouts reflecting the programs used and the data generated as a result of each SDS job run at the central computer facility for SDS as a result of requests received for such services.

Retention Period. **Destroy** when 2 years old.

*113. Copy of Individual State SDS Annual Collection Period Tapes. Copies are made of the tapes submitted by individual States for annual SDS collection periods so that the originals may be returned to the States. The tapes contain the raw descriptive microdata on employees' claims to States for workers' compensation resulting from occupational injuries or illnesses. After the edit and review process of these tapes has been completed, edited master tapes are generated containing all needed corrections of the State-reported data.

Retention Period. **Scratch** 2 years after successful generation of data base tapes.

*114. SDS Individual State Microdata Edited Master Tapes. Upon receipt and copying of original State microdata SDS tapes, a review and edit process of the reported data is begun. This review and edit process may involve reviews of the reported data by the SDS Procedures Staff of DSHS, by the SDS Systems Staff of DSHS, by the SDS OSHS Staff, and as required, corrections to be made by the reporting State.

After completion of all reviews and edits of corrected State-reported data, clean microdata tapes known as "Edited Master Tapes" are generated by the Systems Staff.

These edited master tapes are then stored for use in the process of developing required microdata SDS tabulations.

Some 200 characters of information on reported occupational injuries or illnesses are included on edited master tapes. Some 130 characters cover the identification and description of the claim for compensation, while 70 characters represent internal intermediate data processing information such as flags and the like.

Retention Period. **Scratch** unstacked tapes after stacking, and scratch stacked tapes when no longer needed for current business.

115. SDS Individual State Purge Microdata Tapes. State purge tapes result from the reformatting and suppression of unpublishable data from the SDS State Edited Master Tapes. Some 80 characters of descriptive information on the reported occupational injuries or illnesses are included on the purge tapes.

In reformatting this reported data from the edited master tapes onto the purge tapes, all internal processing data have been suppressed as well as any identifying information as to the employee, and also any reported data that might not meet publication standards after the data have been tabulated.

Purging of reported data makes possible dissemination and sale of such sanitized microdata in magnetic tape format by NTIS, and the transfer of sanitized microdata tapes to NIOSH and OSHA.

Retention Period.

- a. Data currently on hand. **PERMANENT.** Transfer a copy of the files, together with documentation, to the National Archives upon approval of this schedule.
- b. Data created subsequent to the approval of this schedule. **PERMANENT.** Transfer a copy of the files, together with documentation, to the National Archives when the data are made available to NIOSH and OSHA.

116. SDS Individual State Microdata Data Base Tapes. After review of the various types of tabulated microdata tables produced from the purge tapes, even further suppression of certain of the reported data of a particular State may occur, if the tabulated data derived do not meet BLS publication standards.

After such further suppression of reported data, if any, has been completed for a particular State, State data base tapes, typically three for a collection period, are generated from the purge tapes. These are the tapes containing final sanitized State-reported microdata which are made available to the public through NTIS.

Since 1981, the complete publication process at the time of this writing has been completed only on a 2-year basis. No data base tapes have been produced by BLS for the "off" years 1982 and 1984.

Retention Period. **Scratch** when no longer needed for current business.

117. SDS Individual State and Multi-State Aggregated Tabulation Print Tapes. For the years for which the full publication process has been completed, print tapes containing up to 116 tables per State have been generated from the edited master tapes. An SDS Tabulation System, employing TPL and other programs, is applied to the edited master microdata tapes to produce print tapes for each State in about 45 groups of tabular presentation at the individual State level. Also through this System, multi-State aggregate tabulations are produced.

The data for multi-State aggregate tabulation print tapes are arranged in three categories:

- (1) Aggregated data tabulations for States which report on disability days and/or medical treatment;
- (2) Tabulations for States reporting on disabilities;
and
- (3) Tabulations for States reporting on closed cases.

These voluminous print tapes (for a collection year as many as 45 tapes can be produced per individual State) are the vehicle from which hard copy or microfiche tabulations can be generated for dissemination.

Retention Period.

- a. "On" years. **Scratch** 1 year after successful generation of data base tapes.
- b. "Off" years (If any are produced). **Scratch** after successful generation of required tables.

RECORDS COMMON TO ALL DSHS OFFICES
SUPPORTING THE SAFETY AND
HEALTH WORKING CONDITIONS

*118. Technical Reference, Background, and Working Files. These are extra copies, drafts, published materials, periodicals, extra copies of instructional manuals or issuances, clippings, various working papers and tabulations, extra copies of machine listings covered under other items of this Record Schedule, and the like maintained by Branch Chiefs, Unit Supervisors, Economists, System Analysts, Programmers, Technicians, Statistical Assistants, or other program personnel of the Division of DSHS concerned with the Occupational Safety and Health Statistics (OSHWC) Programs pertaining to their assigned areas of responsibility.

Also such reference materials may concern computerized operations and systems and statistical procedures and methodology.

This item does not cover any reference or background material or work files listed above for the Division as specific items of the Schedule.

Retention Period. Review files at least once a year to identify disposable material. **Destroy** when superseded, obsolete, or no longer needed for current business, as appropriate.

*119. Intermediate Printouts, Job Run, Worksheets. In carrying out the OSHS Programs, Branch Chiefs, Unit Supervisors, Economists, System Analysts, Programmers, or other personnel obtain clean edit listings, various intermediate printouts, job runs, or worksheets as part of the computer support of the production of the OSHWC data. Frequently, preliminary listings or worksheets representing phases of the operations are replaced by later printouts.

These machine-produced listings can involve such operations as developing and refining the sample of data sources, processing data collection input, post-screening of Survey data, and estimations of National- and State-level statistics. These activities can include: developing or refining registers of data sources (railroads, mines, and other employers) and related information on items to be reported; obtaining, reviewing/correcting, analyzing, and tabulating injury and illness data; and calculating preliminary or final statistical data resulting from the Surveys. Also involved are runs and listings pertaining to developing the various computer systems or improving processing methodology, monitoring system activity,

utility runs, answering requests for information, developing or maintaining various planning or progress reporting systems, other special runs, and the like. Such listings as are in this Record Item are not covered by any other DSHS Items of the OSHWC Programs listed above.

Retention Period. **Destroy** when all essential information has been analyzed, tabulated, or published, or when superseded or obsolete, as appropriate.

*120. Intermediate Machine Processing Files. Consist of intermediate processing tape or disk files of the OSHS Programs as defined by General Records Schedule (GRS) 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine-readable records not specifically listed above under items of this Records Schedule for the Division of F/SPS offices concerned with the OSHS Programs.

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as appropriate.

121. Word Processing Media. Word processing diskettes or computer storage used in preparing textual or tabular hard copy materials such as correspondence, reports, administrative documents, draft manuals, draft technical memoranda, other procedural documents, speeches, or other papers for presentation at meetings, seminars, and the like.

Retention Period. **Scratch** when all essential information has been analyzed, tabulated, or presented in hard copy form, or when no longer needed for current business, as appropriate.

STATISTICAL METHODS GROUP
OFFICE OF COMPENSATION AND WORKING CONDITIONS

The Statistical Methods Group (SMG) of the Office of Compensation and Working Conditions (OCWC) has responsibility for planning, developing, and evaluating all statistical aspects for the program within the OCWC including the OSHS program. With one exception (see below), SMD records relating to its support of the OSHS program are covered by Items 169, 191, and 179 of the Records Schedule approved for the former Office of Wages and Industrial Relations (N1-257-86-2). For information purposes a copy of those items is included following this page. These items have already been approved by the Archivist of the United States.

OSHS SURVEY FILES. Arranged by subject. These files consist of correspondence, technical memorandums, drafts, milestone tables, printouts, universe refinement instructions, comments on drafts prepared by other offices, and the like pertaining to survey methodology and the revision of the survey.

Retention Period. Retain until the completion of two subsequent surveys. Bring forward records of continuing reference use and **destroy** the remainder. Do not retire to the Washington National Records Center.

EXCERPT FROM APPROVED OFFICE OF EMPLOYMENT AND UNEMPLOYMENT
STATISTICS
SCHEDULE NC-1-257-84-1

318. Headquarters - Regional Coordination Subject File. The file consists primarily of correspondence and related records, status reports, budget memoranda, and the like reflecting the management and coordination activities of this office in assisting in carrying out Federal/State cooperative surveys. Communications between the various headquarters offices and the Regions involving these Federal/State surveys are funneled through this office, which also receives various progress or status reports on the surveys. Included in the file are records covering such matters as trip reports, budgets, contracts, regional office progress reports, training, 790 and 790 Revision projects, 790 on-site reviews, LAUS projects, SIC revisions, OES and 202 programs, comments on operating manuals, memoranda on survey planning and the like.

Retention Period. Break file annually and bring forward active materials. **Destroy** when six years old or when no longer needed for current business, whichever is sooner. If volume warrants, transfer files to WNRC when three years old and store for three years before destruction.

319. Machine-Readable and Related Records on Survey Status, and Mailing, Distribution, and Inventorying Survey Supplies. Disk records are maintained at the primary computer center and printouts and related records at the offices of the various analysts responsible for OEUS surveys reflecting the status of such programs as LAUS, OES, ES 202, 790 and its revisions, and the like, as well as actions involving mailing, distributing, and inventorying various survey supplies.

Retention Period.

OES-LAUS. Printouts and Data Sets. **Destroy** when no longer needed for current business or when obsoleted or revised, as appropriate.

ES 202. Printouts and Data Sets. **Destroy** after eight quarters are held.

790 Revision Projects. Printout and Data Sets. **Destroy** after completion of project.

320. Technical Reference - Working Files. These are extra copies, drafts, printed materials, and working papers maintained by professional employees of the Division covering their particular assigned programs, as well as statistical and computer procedures and methodology. The file includes printouts involving intermediate or processing job runs.

Retention Period. **Destroy** when superseded, obsolete, or no longer needed for current business.