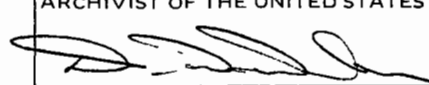



<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO <b>N1-455-87-1</b>	DATE RECEIVED <b>7-7-87</b>
1 FROM (Agency or establishment) <b>Occupational Safety and Health Review Commission</b>		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION		In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Ray H. Darling, Jr. (Executive Sec'y)</b>	5 TELEPHONE EXT <b>634-7950</b>	DATE <b>6/14/88</b>	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 twelve 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, or  is unnecessary

B DATE <b>6/24/87</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE <b>Chairman</b>
--------------------------	--	----------------------------

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	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN 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>
	<p>Records of the Occupational Safety and Health Review Commission (OSHRC)</p> <p>An independent quasi-judicial agency established by the Occupational Safety and Health Act of 1970 (29 U.S.C. 651-678), OSHRC rules on cases forwarded to it by the Department of Labor when employers, employees, or representatives of employees dispute the results of safety and health inspections performed by Labor's Occupational Safety and Health Administration.</p> <p>The Chief Administrative Law Judge (CALJ) of OSHRC assigns cases which require a hearing to an ALJ in the national or a regional office, who decides the case. After a hearing, the ALJ issues a decision based upon findings of fact and conclusions of law. Most of the judges' decisions become final orders of OSHRC. But any of the three Commissioners may direct a case for review by the Commission, which then would issue its own decision. Further appeal is to the U.S. Courts of Appeals.</p> <p>Commissioners are Presidential appointees, each serving a 6-year term. One of the three is Chairman and also directs the operations of the Office of the General Counsel, the national and regional offices of ALJs, and, with the assistance of the Executive Director, the Office of the Executive Secretary, the Office of Administrative Services, and the Office of Public Information.</p>		<u>25 items</u>

Records of the Occupational Safety and Health Review Commission (OSHRC)

Records Common to Several Offices

1. Subject correspondence files. Original incoming copies of correspondence, official copies of outgoing correspondence, internal memoranda, reports, publications, transcripts of speeches, and related documents created or received by the office maintaining the file. Contents concern the functions, operations, and programs of the office maintaining the file, including both planning and routine activities. Generally maintained in accordance with a subject-filing system devised by the creating office.

✓ a. Subject correspondence files of the Chairman. Maintained by Office of the Chairman. Arranged alphabetically by subject. TEMPORARY. Cut off in 6-year blocks and retire blocks to record holding area. Transfer to Washington National Records Center (WNRC) 3 years after cut-off. Destroy when 20 years old. Volume on hand: about 9.5 cubic feet (records from 1976 to 1987). Estimated annual accumulation: 1.3 cubic feet.

✓ b. Subject correspondence files of all other offices and officials. Cut off when 3 years old. Destroy 3 years after cut-off; or sooner if no longer needed. (Replaces NCI-455-76-1. Items 4a and 4h1, for those offices which do not maintain the 2 files separately)

2. ~~Chronological, Reader, or Day files.~~ Copies of correspondence and, occasionally, other documents composed by the staff of the office maintaining file. Include logs or registers of correspondence sent or received. Arranged by date of document, or by date of dispatch or receipt.

~~Cut off at end of calendar or fiscal year. Destroy one year after cut-off. (Modifies NCI-455-76-1, Item 4c, to reflect actual recordkeeping practice)~~

*Non-Record*

3. ~~Desk or Convenience files, or Working papers.~~ Copies of correspondence, memoranda, notes, and related material concerning the position and activities of the person maintaining the file, and not covered by other disposition instructions in this schedule or the General Records Schedules. Generally arranged by subject.

~~Review annually or more frequently; transfer appropriate material to Subject Correspondence file of office (Item 1) and destroy unnecessary material. Destroy entire file when no longer needed. Do not retire to WNRC or offer to National Archives. (GRS 23, Item 6)~~

*GRS 23  
item 6*

Records of the Occupational Safety and Health Review Commission (OSHRC)

4. Travel files. Requests for travel, travel authorizations (including GSA Forms 87), travel vouchers (Standard Forms 1012, 1113, 1113A, and similar forms), related forms, correspondence, and supporting material.
- a. Original or ribbon copies of accountable officer's accounts maintained OSHRC for site audit by GAO; chiefly in Office of Administrative Services. Destroy 6 years and 3 months after period covered by account. (GRS 6, Item 1a1) *GRS 6  
item 1a1*
  - b. Issuing office's copies. Destroy when 3 years old. (GRS 9, Item 3a) *GRS 9  
item 3a*
  - c. Obligation copies. Destroy when funds are obligated. (GRS 9, Item 3b) *GRS 9  
item 3b*
  - d. All other copies and materials. Cut off at end of fiscal year. Destroy 1 year after cut-off. (NC1-455-76-1, Item 4n4) *NC1-455-76-1, item 4n4*
  - e. Instructional manuals and related materials. Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives. *Non-record*
5. Speeches and articles. Speeches, addresses, formal remarks made or articles written by or for employees of OSHRC in their official capacities concerning the agency's programs. Speeches and articles may be presented in governmental or private contexts. (NOTE: A record copy of these materials is usually maintained in the Information Office).
- ✓ a. Principal textual (paper) copies of speeches and articles made or written by or for Chairman, Commissioners, Executive Director, General Counsel, or Chief Administrative Law Judge. Maintained by Office of Public Information (1971-81), Office of the Chairman (1984-87; no records found for 1982-83). PERMANENT. Cut off in 6-year blocks and transfer to WNRC. Offer to National Archives in 6-year blocks when most recent records are 20 years old; destroy any parts of file not accessioned by National Archives.  
Volume on hand: about 3 linear feet (1971-81-, 1984-87).  
Estimated annual accumulation: .5 linear inch.  
(GRS 14, Item 1a: deviation reflects Commissioners' 6-year terms)
  - ✓ b. All other copies of speeches and articles, including speeches and articles by or for officials of OSHRC not specified in Item 5a. Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

6. Personnel correspondence. Correspondence, memoranda, publications, and related documents regarding general and specific personnel policies and procedures, excluding records specifically described elsewhere in this schedule or in the General Records Schedules.

GRS 1  
item 3

Destroy when 3 years old.  
(GRS 1, Item 3)

7. Position descriptions. Files describing established positions, including information on title, series, grade, duties, and responsibilities; include standards for appraisal of performance in positions, as well as logs, registers, and similar control documents.

- a. Record copies. Maintained by Office of Personnel. Destroy 5 years after position is abolished or description is superseded. (GRS 1, Item 7b1)
- b. All other copies. Destroy when position is abolished or description is superseded. (GRS 1, Item 7b2)

GRS 1  
item 7b1

non-record

8. Time and attendance reports files. Maintained by each office for its employees.

- a. Time accounting records such as Optional Form 1130 (Time and Attendance Report), GSA Forms 544 and 873 (Annual Attendance Record), or equivalents.

- (1) Payroll preparation and processing copies. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, Item 3a1)

GRS 2  
item 3a1

- ✓ (2) Attorneys' daily time-sheets and weekly cumulative time reports. Destroy 6 months after end of pay period or when no longer needed for conduct of current business, whichever is later. Do not retire to WNRC or offer to National Archives. (Deviation from GRS 2, Item 3a2 required by use in agency's study of attorneys' use of time: see Item 29 of this schedule)

- (3) All other copies. Destroy 6 months after end of pay period. (GRS 2, Item 3a2)

GRS 2,  
item 3a2

- b. Flexitime attendance records. Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.

GRS 2,  
item 3b

Destroy after GAO audit or when 3 years old, whichever is sooner.  
(GRS 2, Item 3b)

Records of the Occupational Safety and Health Review Commission (OSHRC)

9. Leave application files. Standard Forms 71 (Applications for Leave) or equivalents, and supporting documents relating to requests for and approval of taking leave.

- a. If the employee has initiated the related timecard. Destroy at the end of the applicable pay period. (GRS 2, Item 8a) *GRS 2 item 8a*
- b. If the employee has not initiated the related timecard. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, Item 8b) *GRS 2 item 8b*

10. Employee performance file system records.

a. Non-SES appointees (as defined in 5 U.S.C. 4301[2]).

- (1) Appraisals of unacceptable performance, when a notice of proposed demotion or removal is issued but not effected, and all related documents. Destroy after employee completes 1 year of acceptable performance from date of written advance notice of proposed removal or reduction in grade. (GRS 1, Item 23a1) *GRS 1 item 23a1*
- (2) Performance records superseded through administrative, judicial, or quasi-judicial procedure. Destroy upon supersession. (GRS 1, Item 23a2) *GRS 1 item 23a2*
- (3) Performance-related records pertaining to a former employee. Destroy when 3 years old, or sooner if no longer needed. (GRS 1, Item 23a3) *GRS 1 item 23a3*
- (4) All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based. Destroy 3 years after date of appraisal. (GRS 1, Item 23a4) *GRS 1 item 23a4*
- (5) ~~Supporting documents.~~ Destroy 3 years after date of appraisal, or sooner if no longer needed. (GRS 1, Item 23a5) *GRS 1 item 23a5*

b. SES appointees (as defined in 5 U.S.C. 3132a[2]).

- (1) Performance records superseded through administrative, judicial, or procedure. Destroy upon supersession. (GRS 1, Item 23b1) *GRS 1 item 23b1*

- |   |   |                            |
|---|---|----------------------------|
| (2) Performance-related records pertaining to a former SES appointee.   | Disposition pending. Do not destroy before receiving authorization from National Archives and Records Service (NARA).<br>(GRS 1, Item 23b2) | <i>GRS 1<br/>item 23b2</i> |
| (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based. | Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee.<br>(GRS 1, Item 23b3)                | <i>GRS 1<br/>item 23b3</i> |
| (4) Supporting documents  | Destroy 5 years after date of appraisal, or sooner if no longer needed.<br>(GRS 1, Item 23b4)   | <i>GRS 1<br/>item 23b4</i> |
| c. Presidential appointees.   | Disposition pending. Do not destroy before receiving authorization from NARA.<br>(GRS 1, Item 23c)  | <i>GRS 1<br/>item 23c</i>  |
11. Reports of activities. Periodic reports of plans, workloads, and accomplishments of individual employees or offices. Generally arranged chronologically.
- a. Machine-readable reporting systems. Maintained by Office of the Executive Secretary.
- |                            |  |                                       |
|----------------------------|--|---------------------------------------|
| (1) Source materials.      | Destroy when no longer needed for conduct of current operations. Do not retire to WNRC or offer to National Archives.<br>(GRS 20, Part II, Item 6) | <i>GRS 20<br/>Part II<br/>item 6</i>  |
| (2) Working data.          | Destroy after 3 or more update cycles. Do not retire to WNRC or offer to National Archives.<br>(GRS 20, Part II, Item 4)                           | <i>GRS 20<br/>Part II<br/>item 4</i>  |
| (3) System specifications. | Destroy one year after discontinuance of reporting system.<br>(GRS 20, Part III, Item 2)   | <i>GRS 20<br/>Part III<br/>item 2</i> |
- b. Textual (paper) reports.
- (1) Print-outs of machine-readable reporting systems.
- ✓ (a) Copies maintained by Office of the Executive Secretary.
- Destroy when 5 years old, or sooner if longer needed.

- (b) ~~All other copies.~~ Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives. *Non-record*
- ✓(2) All other textual reports. Destroy when 5 years old, or sooner if no longer needed.
12. Case tracking and control reports. Periodic lists and aggregate analyses of judicial cases in the agency. Generally arranged chronologically.
- a. ~~Machine-readable reporting systems.~~ Maintained by Office of the Executive Secretary.
- (1) ~~Source materials.~~ Destroy when no longer needed for conduct of current operations. Do not retire to WNRC or offer to National Archives. (GRS 20, Part II, Item 6) *GRS 20 Part II item 6*
- (2) ~~Working data.~~ Destroy after 3 or more update cycles. Do not retire to WNRC or offer to National Archives. (GRS 20, Part II, Item 4) *GRS 20 Part II item 4*
- (3) ~~System specifications.~~ Destroy one year after discontinuance of reporting system. (GRS 20, Part III, Item 2) *GRS 20 Part II item 2*
- b. Textual (paper) reports.
- (1) Print-outs of machine-readable reporting systems.
- ✓(a) Copies maintained by Office of the Executive Secretary. Destroy when 5 years old, or sooner if longer needed.
- (b) ~~All other copies.~~ Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives. *Non-record*
- ✓(2) All other textual reports. Destroy when 5 years old, or sooner if no longer needed.
13. Copies of judicial case files. May include copies of any or all of the following: notices of contest, administrative law judge's decision, decisional memorandum, draft decision, proposed decision, final order, correspondence, related documents. Maintained as reference or working files by offices other than Office of the Executive Secretary. Generally arranged by docket number of case. *Non-record*
- Destroy when no longer needed for conduct of current business. Do not

retire to WNRC or offer to National Archives.

14. Publications. Official publications of OSHRC, including Rules of Procedure and OSHtalk, issued for distribution within and beyond the agency.

- ✓ a. News releases. One copy of each prepared statement or announcement, regarding decisions made by the agency, appointments within and retirements from the agency, and other events, issued for distribution to news media. Arranged chronologically. Maintained by Office of Public Information.
- PERMANENT. Cut off in 5 year block and retire block to record holding area. Transfer to WNRC 3 years after cut-off. Offer to National Archives in 5-year blocks when most recent records are 20 years old.  
Volume on hand: 6 linear feet (1972-1987).  
Estimated annual accumulation: .25 linear inch.  
(GRS 14, Item 1b1)
- ✓ b. Other publications, not specified in Item 14a above, in General Record Schedules, or in schedule NC1-455-76-1, but excluding slip opinions which are later microfilmed for publication as Commission Decisions (NC1-455-76-1, Item 2b). These other publications include the agency Annual Report to the President, Rules of the Procedure of the OSHRC, agency Directives, and the Guide to Procedures of the U.S. OSHRC.
- (1) Record copy. Partially arranged by date of publication. Maintained by Office of Public Information.
- PERMANENT. Offer to National Archives in 10-year blocks when most recent records in block are 10 years old. Destroy those records not accessioned by National Archives.  
Volume on hand: 2 linear feet (1971-1987).  
Estimated annual accumulation: 2 linear inches.  
(GRS 13, Item 1a)
- ~~(2) All other copies.~~ Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.  
(GRS 13, Item 1b) *Non-record*
- ✓ (3) Working papers, drafts, galley proofs, and other materials used in preparation of publications.
- Destroy when no longer needed for conduct of current business. Do not retire to WRNC or offer to National Archives.

~~15. Procurement request files. Purchase orders (including Standard Forms 147, Optional Forms 347), contracts, invoices, correspondence, related documents. Generally arranged by fiscal year, thereunder by subject or by purchase-order number.~~

- ~~a. Procurement or purchasing organization copies, with related papers. Primarily maintained by Office of Administrative Services.~~



Records of the Occupational Safety and Health Review Commission (OSHRC)

- (1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000. Destroy 6 years and 3 months after final payment. (GRS 3, Item 4a[1]) *GRS 3 item 4a(1)*
- (2) Transactions of \$25,000 or less and all construction contracts which do not exceed \$2,000. Cut off at end of fiscal year in which last action is completed. Destroy 3 years after cut-off. (GRS 3, Item 4a[2]) *GRS 3 item 4a(2)*
- b. Obligation copies. Destroy when funds are obligated. (GRS 3, Item 4b) *GRS 3 item 4b*
- c. Copies maintained by other offices. Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives. *Not record*
16. Individual schedules of daily activities. Calendars, appointment books, and other records documenting the official activities of Commissioners and employees. The substance of any significant information is incorporated into memoranda, reports, correspondence, or other records of the agency. Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives. (GRS 23, Item 2c) *GRS 23 item 2c*
17. Requisitions for local duplicating. Work orders for photocopies made within the agency (Commission Form OAS 420). Arranged chronologically. Destroy 1 year after completion of job. (GRS 13, Item 3a) *GRS 13 item 3a*
- Office of the Chairman
18. Background investigations. Reports of investigations, carried out by other Federal agencies, of actual or potential employees of OSHRC; used in making determinations regarding security or suitability. Destroy in accordance with the investigating agencies' instructions. (GRS 18, Item 23b) *GRS 18 item 23b*
- ✓ 19. Budgetary testimony before Congress. Transcripts of Chairman's statements, anticipated questions. Destroy when 6 years old, or sooner if no longer needed. Do not retire to WNRC or offer to National Archives.

Office of the Chief Counsel

20. ~~Financial disclosure reports.~~ Annual reports by Commissioners, administrative law judges, and other officials of the agency on Standard Forms 278 and equivalents, regarding individual financial interests.

GRS 1  
items  
25a, 2  
and  
25b

~~Destroy when 6 years old or when no longer needed for a continuing investigation, whichever is later.  
(GRS 1, Items 25a2 and 25b)~~

- ✓ 21. Inter-library loan requests. Formal requests to or from other local libraries for temporary loan of books or other library holdings.

Destroy 6 months after return of lent book or other item to lending library.

Office of the Executive Secretary

- ✓ 22. Docket sheets. Single-page chronologies of judicial cases before OSHRC, some with Hearing Examiner's Docket Sheets attached. Particularly for cases settled before hearing, Docket sheets may constitute the sole record. Arranged by docket number.

Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

- ✓ 23. Docket, case, and file control logs. Registers of dates and activity, tracking the progress of judicial cases before OSHRC and the use of files within the Office.

Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

24. Records of Commissioners' meetings. Two or all members of the Commission meet periodically to review cases forwarded from Office of the General Counsel, to adopt rules and administer agency. *Withdrawn*

- ✓ a. Cassette audial recordings.  
Arranged chronologically.

PERMANENT. Cut off in 10-year blocks and transfer to record holding area. Offer to National Archives in 10-year blocks when most recent records are 20 years old; destroy any parts of file not accessioned by National Archives. Volume on hand: about 4 cubic feet (ca. 1971-1987). Estimated annual accumulation: less than .25 cubic foot.

Records of the Occupational Safety and Health Review Commission (OSHRC)

- ✓ b. Minutes. Brief textual synopses. PERMANENT. Cut off in 10-year blocks and transfer to record holding area. Offer to National Archives in 10-year blocks when most recent records are 20 years old; Volume on hand: 1 cubic foot (1971-1987). Estimated annual accumulation: less than .25 cubic foot.

Office of Administrative Services

- ✓ 25. Hearing room schedule. Calendar of reservations for use of hearing room in agency's national office.

Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

26. Budgetary files. Correspondence, Congressional proceedings, reports regarding budgetary requests, allocations, expenditures.

- ✓ a. Files in Office of Financial Management. Cut off at close of fiscal year. Destroy 6 years after cut-off. Do not retire to WNRC or offer to National Archives. (GRS 5 is inapplicable to files, which total 2 cubic feet for 1971-87, because of administrative structure of agency)

- ✓ b. Files maintained elsewhere in agency and not covered elsewhere in this schedule. Cut off at close of fiscal year. Destroy 6 years after cut-off, or sooner if no longer needed. Do not retire to WNRC or offer to National Archives.

27. Still photographs. Mostly color prints of judicial conferences, activities, and Commissioners and employees of OSHRC. Most photographs are fully or partly captioned. Maintained by Office of Public Information. Partially arranged chronologically, in June, 1987, in binders covering 1971-78 and totaling 9 linear inches.

- ✓ a. Photographs which document the basic mission and functions of OSHRC. PERMANENT. Offer original negative and a captioned print (and, for color negative photography, a duplicate negative) with related documentation, if available, to National Archives. Transfer in 10 year blocks when the oldest record is 15 years old or when no longer needed for conduct of current operations.  
~~(GRS 21, Items 6 and 7)~~

Records of the Occupational Safety and Health Review Commission (OSHRC)

- ✓ b. Official portraits of Commissioners and other senior agency officials. PERMANENT. Offer original negative and a captioned print (and, for color negative photography, a duplicate negative) with related documentation, if available, to National Archives. Transfer in 10 year blocks when oldest record is 15 years old or when no longer needed for conduct of current operations.  
~~(GRS 21, Item 5)~~
- c. ~~Photographs of routine ceremonies, social events, and activities not related to the mission of OSHRC.~~ Destroy when one year old or when no longer needed. Do not retire to WNRC or offer to National Archives.  
~~(GRS 21, Item 1)~~ *GRS 23 item 1*
- d. ~~Duplicate items in excess of record elements required for preservation, duplication, and reference by 41 CFR 101-11.411-4.~~ Destroy when no longer needed. Do not retire to WNRC or offer to National Archives.  
~~(GRS 21, Item 4)~~ *GRS 21 item 4*

Office of Chief Administrative Law Judge and Regional Offices

- ✓ 28. Court-space facilities files. Lists, manuals, card files, correspondence, other records regarding space available for OSHRC's use for judicial hearings. Generally maintained alphabetically by name of geographic location.

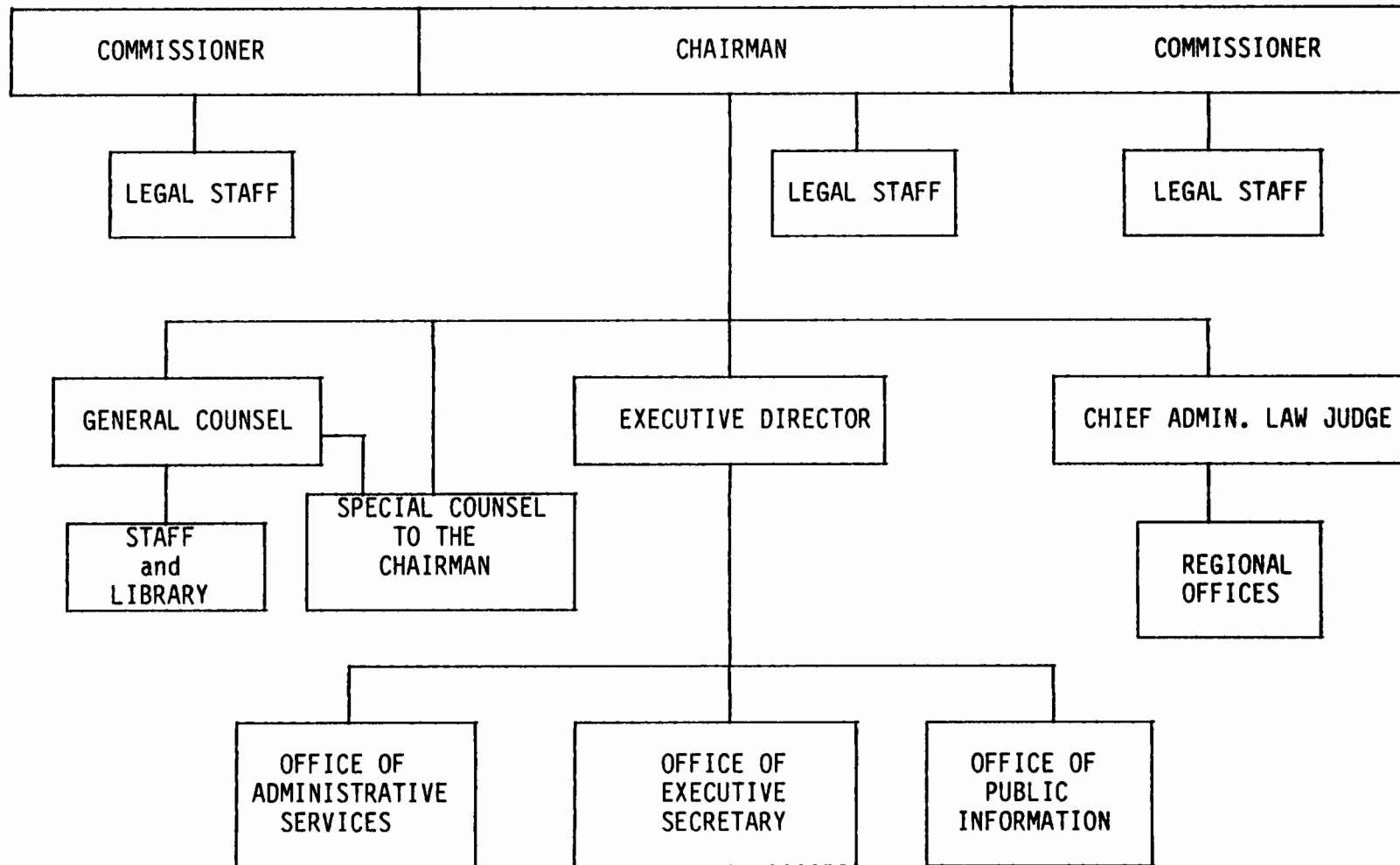
Destroy superseded references or listings upon supersession; destroy entire file when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

Offices of Commissioners 1 and 2

29. Administrative studies. Analyses of aspects of the routine operations of OSHRC, such as staff attorneys' use of time, not covered elsewhere in this schedule, General Records Schedules, or schedule NC1-455-76-1.

- ✓ a. Working papers and source materials. Dispose of in accordance with applicable disposition instructions or when no longer needed for conduct of current business, whichever is later.
- ✓ b. Reports of studies. Destroy when no longer needed for conduct of current business. Do not retire to WNRC or offer to National Archives.

OVERALL ORGANIZATION



OFFICIAL SEAL:



*Paul M. Lyons*  
PAUL M. LYONS  
EXECUTIVE DIRECTOR

*E. Ross Buckley*  
E. ROSS BUCKLEY  
CHAIRMAN