REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	JOB NUMBER *N1-100-07-1* DATE RECEIVED *8/7/07*

1 FROM (Agency or establishment) US DEPARTMENT OF LABOR	NOTIFICATION TO AGENCY

2 MAJOR SUBDIVISION OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)	

3 MINOR SUBDIVISION OFFICE OF PARTNERSHIPS AND RECOGNITION	

4 NAME OF PERSON WITH WHOM TO CONFER YVETTE STEWART	5 TELEPHONE 202-693-2002	DATE	ARCHIVIST OF THE UNITED STATES

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 5 page(s) are not needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manuel for Guidance of Federal Agencies,

☒ is not required,   ☐ is attached, or   ☐ has been requested

DATE 8/2/2007	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE DOL DEPARTMENTAL RECORDS OFFICER

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1-6	**Records Pertaining to the Occupational Safety and Health Administration (OSHA) Voluntary Protection Program (VPP) and Strategic Partnership Program (OSPP)** **(SEE ATTACHED)**		

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA
36 CFR 1228

Office of Partnerships and Recognition Records

On July 2, 1982, the Occupational Safety and Health Administration (OSHA) announced the establishment of the Voluntary Protection Programs (VPP) to recognize and promote effective worksite-based safety and health management systems. In the VPP, management, labor, and OSHA establish cooperative relationships at workplaces that have implemented comprehensive safety and health management systems. VPP applicants submit information to OSHA on their safety and health management systems and open themselves to agency review. Approval into VPP is OSHA's official recognition of the outstanding efforts of employers and employees who have created exemplary worksite safety and health management systems.

In general, VPP is managed at the Regional level. However, in some cases Area Offices are responsible for the day-to-day management of the VPP. Additionally, the Directorate of Cooperative and State Programs (DCSP) is tasked with overall program management. DCSP responsibilities include:

- Program development and promotion
- Policy and procedure development, interpretation, and implementation
- Training development and delivery
- Reviewing and processing of on-site evaluation reports
- Analyzing program impact
- Data collection

Types of VPP Files

VPP files can be divided into three areas, individual VPP participant files, policy files, and miscellaneous program related information. Some files may be kept in more than one office. However, the official record copies are maintained with the originating office.

These standards apply to original records for individual Voluntary Protection Programs (VPP) sites that are normally generated by the Regional VPP Managers and maintained in the Regional Offices. However, the Directorate of Cooperative and State Programs (DCSP) generates original documents as well, which are included in DCSP's files for individual VPP sites.

This schedule covers OSHA Voluntary Protection Programs (VPP) records, located in OSHA's National, Regional and Area Offices.

1. Individual Voluntary Protection Programs (VPP) Site Approval Files.

DCSP records generated at the National Office level include DCSP Director's memorandum to the Assistant Secretary requesting approval of a VPP onsite

1

evaluation report, and The Assistant Secretary's letter to the participant (which includes notification of a copy to any and all collective bargaining agents)

DCSP records generated at the Regional or Area Office level include VPP application and amendments, Onsite evaluation reports, Regional Administrator's letter of recommendation and the transmittal memoranda to the Assistant Secretary; and Memoranda to the appropriate Area Director removing an approved site from the general inspection list

a. **National Office Level Paper Records**

Disposition. Temporary Close files once the VPP participant withdraws or is terminated from the program Cut-off closed files at the end of (fiscal year) and transfer closed records to the Federal Records Center (FRC) Destroy four years old after cut-off

(1)

b **National Office Level Electronic Records (including email).**

Disposition. Temporary Maintain in a recordkeeping system. Close once the VPP participant withdraws or is terminated from the program Cut-off closed files at the end of (fiscal year), organize closed records by year closed, and transfer to CD-ROM Destroy/Delete electronic records four years after cut-off

c **Regional or Area Office Paper Records**

Disposition Temporary Destroy the original VPP application and amendments of Star Participants once the site successfully completes its first on-site evaluation, after initial approval evaluation Destroy the original VPP application and amendments of Merit Participants once the site is approved at the star level Close files once the VPP participant withdraws or is terminated from the program Maintain five consecutive years of the participants' self annual assessments in the generating office Cut-off closed files at the end of (fiscal year) and transfer closed records to the Federal Records Center (FRC) Destroy four years after cut-off

(2)

d. **Regional or Area Office Electronic Records (including email).**

Disposition. Temporary Destroy the original VPP application and amendments of Star Participants once the site successfully completes its first on-site evaluation after initial approval. Destroy the original VPP application and amendments of Merit Participants once the site is approved at the star level Maintain remaining records in a recordkeeping system Cut-off closed files at the end of (fiscal year), organize closed records by year closed, and transfer to CD-ROM Destroy/Delete electronic records four years after cut-off

2. Program Policy Files

Program policy records are primarily generated by DCSP at the national level However, Regions may also develop policy related to the implementation and promotion of VPP Program issues, policies, or procedures may include VPP directives, and supporting guidelines and decisions, Comments to draft policies, Formal and non-formal Solicitor opinions, Process guidelines for program management, Program projection and impact analyses, Program review, such as by the GAO or OIG, and, Federal Register Notices, public comments, and decisions

a Paper Records

Disposition. Permanent Cut-off every three years Transfer to the Archives of the United States four years after cut-off

b Electronic Records (including email)

Disposition. Permanent Retain in the originating office in an electronic recordkeeping system Cut-off every three years Transfer to the Archives of the United States four years after cut-off in accordance with 36 CFR 1228 270

3. VPP Chronological Files

The National Office generates and maintains specific VPP chronological files The VPP chronological files record the date of receipt or specific action pertaining to a VPP participant There are two types of VPP chronological files, new VPP approval chronological files, and the VPP reapproval chronological files

The new VPP approval chronological files could include Regional Administrator's letter of recommendation to the Directorate, signature grid and date of the review, VPP onsite evaluation report, VPP team composition sheet, VPP site information sheet, Onsite evaluation cover sheet, and a copy of the Assistant Secretary's letter to the participant

The VPP reapproval chronological file could include Regional Administrator's letter of recommendation to the Directorate, signature grid and date of the review, Onsite evaluation cover sheet, and a copy of the Assistant Secretary's letter to the participant

VPP Chronological files generated at the National Office

a. Chronological Paper Files
Disposition: Temporary Destroy files three years after the date of the Assistant Secretary's Approval

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4. Miscellaneous Program Related Files.

Records may be generated by an Area, Regional or National Office, and would include those documents not related to a specific VPP site or to program policy Miscellaneous program files may include Internal Administrative documents, Outreach materials, and, Conference and meeting materials and notes

(5)

a. **Paper records.**

Disposition. Temporary Destroy when materials become obsolete or no longer needed

b **Electronic records (including email).**

Disposition Temporary. Delete individual record when superseded, obsolete, or no longer needed

OSHA Strategic Partnership Program (OSPP) Records

The OSHA Strategic Partnership Program (OSPP) was created in 1998 Through this program, OSHA enters into extended, voluntary, cooperative relationships with groups of employers, employees, and employee representatives to address industry issues, specific hazards, or develop or improve effective safety and health management systems An OSHA Strategic Partnership (OSP) aims to have a measurable, positive impact on workplace safety and health that goes beyond what historically has been achieved through traditional enforcement methods

OSP's may be developed at an Area, Regional or National Office level, therefore each originating office will have file retention responsibilities Additionally, the Directorate of Cooperative and State Programs (DCSP) is tasked with overall program management DCSP responsibilities include

- Program development and promotion
- Policy and procedures development, interpretation, and implementation
- Training development and delivery
- Reviewing and processing of agreements and evaluations
- Analyzing program impact
- Data collection

Types of OSPP Files

OSPP files can be divided into three areas, individual OSP files, policy files, and other program related information Some files may be kept in more than one office However, the official record copies are maintained with the originating office

These standards apply to original OSP records that are generated and maintained by OSHA Office that originates and has primary responsibility for the OSP,

which may be at an Area, Regional, or National level Additional documents, such as policy or miscellaneous files, will be maintained by the originating office as well

This schedule covers OSHA Strategic Partnership Program (OSPP) records, located in OSHA's National, Regional and Area Offices

5. **Individual OSHA Strategic Partnership (OSP) Agreement File.**
   OSP records are originated and maintained by the OSHA Office that has primary responsibility for the OSP At a minimum, the file will contain Final copy of the OSP agreement, Paperwork Reduction Act Information Sheet and/or OSPAD worksheet, and, Annual evaluations

   The file may also contain New releases, Success Stories, Verification reports or summaries, Working group or meeting notes, and, Memos

   a. **Paper Records.**

      Disposition Temporary. Close once the partnership agreement is terminated or expires Cut-off closed files at the end of (fiscal year) and transfer closed records to the Federal Records Center (FRC) Destroy four years after cut-off

   (6)

   b **Electronic Records (including email).**

      Disposition Temporary Maintain in a recordkeeping system Close once the partnership agreement is terminated or expires Organize closed records by year closed, and transfer to CD-ROM Destroy when four years old

6. **Program Policy Files.**

   Program Policy records are primarily generated by DCSP at the National level However, Regions may also develop policy related to the handling of Regional and Area Office Partnerships Program issues, policies, or procedures may include OSPP directives, and supporting guidelines and decisions, Comments to draft policies, Formal and non-formal Solicitor opinions, Process guidelines for program management, Program projections and impact analyses, and Program reviews, such as by the GAO or OIG.

   a **Paper Records.**

      Disposition. Permanent Cut-off closed file every three years Transfer to the Archives of the United States four years after cut-off

   (7)

b. **Electronic Records (including email).**

> **Disposition.** Permanent Retain in the originating office in an electronic recordkeeping system Cut-off every three years Transfer to the Archives of the United States four years after cut-off in accordance with 36 CFR 1228 270

7. **Miscellaneous Program Related Files**

Miscellaneous files are generated by an Area, Regional or National Office, and would include those documents not related to a specific OSP or to program policy Miscellaneous program files may include Internal Administrative documents, Outreach materials, and Conference and meeting materials and notes

a **Paper Records.**

> **Disposition** – Temporary Destroy when materials become obsolete or no longer needed

b **Electronic Records (including email).**

> **Disposition.** Temporary Delete individual record when superseded, obsolete, or no longer needed

Special Government Employee (SGE) Program

The Special Government Employee (SGE) Program for the Voluntary Protection Programs (VPP) was created in 1994 The SGE Program was established to allow industry employees to work alongside OSHA during VPP on-site evaluations Not only does this innovative program benefit OSHA by supporting its on-site evaluation teams, but it gives industry and government an opportunity to work together and share views, ideas and best practices

Qualified volunteers from VPP sites are eligible to participate in the SGE Program These volunteers must be approved by OSHA and their participation is funded by their companies After submitting an application and completing the required training, these volunteers are sworn in as SGEs and are approved to assist as VPP on-site evaluation team members

The Directorate of Cooperative and State Programs (DCSP) manages the SGE Program Responsibilities include Program policy development, SGE application review and approval, management of the SGE Program training courses, assistance in scheduling SGE participation on specific on-site evaluations

Types of SGE files

SGE Files can be divided into three areas SGE participant files, policy files, and miscellaneous files This record retention schedule will apply to the original record for each SGE that is generated and maintained in the National Office

8. SGE Individual Application Files

Each SGE application is reviewed and approved at the National Office level and includes 1) SGE Eligibility Information Sheet, 2) resume or Application for Federal Employment (OF-612), 3) and a Financial Disclosure Report (OGE-450)

SGE Application Packets generated at the National Office

(a)

a. Paper files
Disposition: Temporary Close file once the SGE withdraws or is terminated from the program Destroy closed files

b. Electronic files – N/A

9. SGE Program Policy Files
SGE Program policy records are generated by the National Office   However, Regions may provide feedback to policy related to the implementation of the SGE Program Program issues, policies, or procedures may include SGE directive and supporting guidelines and decisions, comments to draft policies and procedures, solicitor opinions, program management, and program impact and analyses

SGE Program Policy Files generated at National Office

a.   Paper Files
Disposition: Permanent Once the material is superseded, obsolete or no longer needed, place in an inactive file and maintain for five years and then transfer to the Federal Records Center (FRC) After ten years transfer to the United States National Archives

(10)

b.   Electronic Files
Disposition: Permanent. Maintain an electronic recordkeeping system Close files once the material is superseded, obsolete or no longer needed Ten years after closure transfer records to the United States National Archives in accordance with 36 CFR 1228 270

10. SGE Miscellaneous Program Related Files

Miscellaneous program related files include documents not related to a specific SGE application or program policy Miscellaneous program files may include internal administrative documents, outreach materials, training materials, and SGE correspondence

a. Paper Files

Disposition: Temporary Destroy when material is superseded, obsolete or no longer needed

b. Electronic Files

Disposition: Temporary Delete when material is superseded, obsolete, or no longer needed