

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-100-77-01**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/3/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Active In part: Items 1, 22 28, 33, and 40

Items 2-21, 23-27, 29, 30, 34-36, 39, 41-47

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

NC1-100-82-01 item 4 supersedes NC1-100-77-01 item 1 in part only

NC1-100-82-01 item 2 supersedes NC1-100-77-01 item 22 in part only

N1-100-92-001 item 1 supersedes NC1-100-77-01 item 28 in part only for state plan records

NC1-100-82-01 item 5 supersedes NC1-100-77-01 item 28 in part only

NC1-100-82-01 item 20 supersedes NC1-100-77-01 item 28 in part only

N1-100-92-001 item 4C supersedes NC1-100-77-01 item 31

N1-100-92-001 item 4C supersedes NC1-100-77-01 item 32

N1-100-92-001 item 4B supersedes NC1-100-77-01 item 32

NC1-100-82-01 item 3 supersedes NC1-100-77-01 item 33 in part only

N1-100-92-001 item 2 supersedes NC1-100-77-01 item 37

N1-100-92-001 item 3 supersedes NC1-100-77-01 item 37

N1-100-92-001 item 4 supersedes NC1-100-77-01 item 37

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N1-100-92-001 item 5 supersedes NC1-100-77-01 item 37

N1-100-92-001 item 6 supersedes NC1-100-77-01 item 37

NC1-100-82-01 item 21 supersedes NC1-100-77-01 item 38 in part only

DAA-0100-2018-0002-0009 supersedes item 38

NC1-100-82-01 item 18 supersedes NC1-100-77-01 item 40 in part only

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)

U.S. Department of Labor

2 MAJOR SUBDIVISION

Occupational Safety and Health Administration (OSHA)

3 MINOR SUBDIVISION

Regional and Area Offices

4 NAME OF PERSON WITH WHOM TO CONFER

Bea McCabe

5. TEL EXT

37995

6 CERTIFICATE OF AGENCY REPRESENTATIVE

| LEAVE BLANK  |  |
|--|--|
| DATE RECEIVED<br><b>29 AUG 1977</b>  | JOB NO   |
| <b>NC1-100-77-1</b>  |  |
| NOTIFICATION TO AGENCY   |  |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with drawn" in column 10 |  |
| <u>11-1-77</u><br>(Date)   | <u>James B. Roodel</u><br>Archivist of the United States |

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 18 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

8/25/77

Date

Alta J. Bell

(Signature of Agency Representative)

Departmental Records Officer

(Title)

| 7. ITEM NO | 8 DESCRIPTION OF ITEM<br>(With Inclusive Dates or Retention Periods)  | 9. SAMPLE OR JOB NO | 10 ACTION TAKEN |
|------------|---|---------------------|-----------------|
| 1.         | <p align="center"><u>SECTION I--RECORDS COMMON TO MOST OFFICES</u></p> <p><u>Office Administrative Files.</u> Records accumulated by most regional and area OSHA offices that relate to routine internal administration or "house-keeping" activities of the office rather than the functions for which the office exists. In general, these papers relate to the office organization, procedures and communications, and day-to-day administration of office personnel. The papers include duplicate or working copies of documents concerning the expenditure of funds in the office, including budget workpapers, copies of supplies and office equipment requests and receipts, documents regarding the use of office space and utilities, papers concerning participation in employee and community affairs, campaigns, drives, etc. These records may include copies of administrative correspondence, reports and forms prepared in the office and forwarded to higher levels and other material that does not serve as official documentation. The retention period outlined in this item will apply unless a separate records item (series) is described in this section. This material is arranged according to the DOL <u>Administrative</u> Subject Classification Guide.</p> <p>Cut off annually at end of fiscal year. Destroy one year after cutoff.</p> | NC174-76-1, Item 1  |                 |

**53 items**

*Sent to agency, all ERC, NCW, NINB, NING 11/3/77*

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO.     | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO | 10.<br>ACTION TAKEN       |
|--------------------|--|---------------------------|---------------------------|
| 2.                 | <p><u>Request for Approval of Expenditures for Rental of Office Space.</u> These files contain offers to lease space and related correspondence between National Office (NO), Regional Office (RO), or Area Office (AO) and RAMO. Also included are maps, floor plans, Requests for Approval of Expenditures for Repairs and Alterations, and informational copies of correspondence between OSHA or RAMO and GSA. These expenditures are often coordinated with Regional Administration and Management Office (RAMO).</p> <p>Cut off when agency moves from the building. Retire to FARC two years after cutoff. Destroy six years after cutoff.</p>  | NC174-76-1, Item 18       |                           |
| 3.                 | <p><u>Position Description Files.</u> Documents describing duties, responsibilities, and supervisory relationships of each position in the RO or AO, generally using Optional Form 8. These are maintained in OSHA offices as working files and are extra copies of official files maintained in RAMO or NO personnel offices.</p> <p>Destroy when superseded or the position is abolished.</p>  | NC174-76-1, Item 20       |                           |
| 4.<br><br>and<br>^ | <p><u>Purchase and Contract Transaction Files.</u> Consist of contract, requisition, purchase order, lease, and bond surety records, including correspondence and related papers pertaining to award, administration, receipt inspection and payment of purchase transactions. Purchase orders prior to 7/25/74 have the same retention standard as 4a and 4b. Prior to 1974, transactions were identified as PO's of more/less than \$2,500.</p> <p>Items 4c and 4d consist of Requisition for Equipment and Supplies, DL Form 1-1; Requisition for Printing, GSA Form 50; and/or other requisitions for non-personal services. Copies of the forms are often sent to the RAMO and NO.</p> <p>Arranged alphabetically or numerically.</p> <p>a. <u>Purchase orders or comparable instruments after July 25, 1974 for amounts of \$10,000 or more.</u> Cut off annually at end of fiscal year. Place</p> | DWL<br>9/23/77            | GRS Item 3.4a (1) and (2) |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO   | 10.<br>ACTION TAKEN |
|----------------|--|---|---------------------|
|                | <p>in inactive file when transaction is complete. Hold two years or until volume warrants and retire to FARC. Destroy six years <sup>^</sup> after final payment. <i>and three months</i></p> <p>b. <u>Purchase orders or comparable instruments after July 25, 1974 for amounts of less than \$10,000.</u> Cut off file at end of fiscal year. Place in inactive file when payment is made. Destroy three years after final payment.</p> <p>c. <u>Purchase order working files maintained by operating offices.</u> Cut off annually at end of fiscal year in which final payment is made. Destroy one year after cutoff.</p> <p>d. <u>Duplicate copies.</u> Destroy when no longer needed for reference.</p> | <p><i>DWL / Abeyta</i><br/> <i>9/23/77</i></p> <p>NC174-76-1, Item 1 and 22;<br/>                     GRS Item 3, 4a(3) and (4)</p> |                     |
| 5.             | <p><u>Administrative Copy Personnel Documents.</u> These items are maintained in OSHA offices and are working copies of official file documents often maintained in the Official Personnel File (OPF) by RAMO and/or NO. Items included are SF-50, Personnel Action; SF-52, Request for Personnel Action; SF-7, Service Record Card, when not the official record; Performance Evaluation; "Skeleton" Personnel Folder; and copies of other documents maintained by the Personnel Office.</p> <p>Cut off at end of the fiscal year that employee leaves. Destroy one year after cutoff.</p>  | NC174-76-1, Item 21   |                     |
| 6.             | <p><u>Administrative Copies of Travel and Transportation Documents.</u> These files are accumulated in OSHA offices and include duplicate copies of original travel and transportation documents. Included are signed copies of Travel Authorizations, Travel Vouchers, Travel Requisitions, Requests for Advance of Funds, and other documents related to official travel, including permanent change of station documents. Copies are used for administrative or funds control purposes and may be subject to audit. Arranged alphabetically.</p> <p>Cut off annually at end of fiscal year. Destroy two years after cutoff.</p>   | NC174-76-1, Item 23   |                     |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO. | 10<br>ACTION TAKEN |
|----------------|---|----------------------------|--------------------|
| 7.             | <p><u>Training General Administrative Files.</u> Copies of documents relating to the general administration of employee training programs, such as announcements and schedules of training courses and seminars, inventories of available training resources, requests for information on training activities and similar papers.</p> <p>Cut off annually at end of the fiscal year. Destroy two years after cutoff.</p>  | NC174-76-1, Item 24        |                    |
| 8.             | <p><u>Training Report Files.</u> Documents reflecting actual training progress and accomplishments. Along with directly related papers, includes the record copy of quarterly, semiannual, or annual reports of training accomplishments; summary reports, special training reports; listings and reports of employees trained; study reports and coordinating actions. Arranged chronologically.</p> <p>a. <u>Record copy reports.</u> Cut off annually at end of the fiscal year. Transfer to FARC two years after cutoff. Destroy five years after cutoff.</p> <p>b. <u>Duplicate or working copies of reports.</u> Destroy when obsolete or no longer needed for reference.</p> | NC174-76-1, Item 25        |                    |
| 9.             | <p><u>Training Record Files.</u> Office working copies of training achievement records and cards showing history of individual employees. When an employee is transferred to another OSHA region or to another Federal agency, forward upon request a copy of individual's training record to training office of new duty station. Official file copies are included in the Official Personnel File. Arranged alphabetically by employee name.</p> <p>Destroy individual record upon separation or retirement of employee.</p>  | NC174-76-1, Item 26        |                    |
| 10.            | <p><u>Incentive Award Case Files.</u> These records are comprised of both suggestions and honor awards. Suggestion files consist of An Idea for Improvement, DL Form 1-120; enclosures or exhibits, if applicable; Suggestion Evaluation, DL Form 1-234; Authorization to Issue an Award Check, DL Form 1-211; rejection notice; and related correspondence. Honor awards</p>   | NC174-76-1, Item 12        |                    |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO. | 10<br>ACTION TAKEN |
|----------------|--|----------------------------|--------------------|
|                | <p>consist of Nomination for Performance Award and certifying letters; samples of work or evaluations; position descriptions and other supporting papers; Notice of Approval of Quality Increase, or Authorization to Issue an Award Check, DL 1-211. Official file copies are included in the Official Personnel File. Arranged alphabetically.</p> <p>Cut off closed cases annually at end of fiscal year. Destroy three years after cutoff.</p>   |                            |                    |
| 11.            | <p><u>Management by Objectives Files.</u> Background materials such as analyses, notes, drafts, charts, interim reports, and other similar workpapers generated during the project concerning actions or changes in the manner or method of planning, directing, controlling, or doing work, which results in increased effectiveness, efficiency and economy. Usually found in management analysis offices. Arranged by project title or number.</p> <p>Cut off completed projects at end of the fiscal year. Destroy three years after cutoff.</p> | NC174-76-1, Item 15        |                    |
| 12.            | <p><u>Individual Trainee Files.</u> Case files containing applications, schedules, certificates, reports of progress and attendance, and related data concerning individual employee participation in the college trainee program or other formal technical or clerical training program under a training agreement. Arranged alphabetically.</p> <p>Cut off at the end of the fiscal year following completion of training. Destroy five years after cutoff.</p>  | NC174-76-1, Item 7         |                    |
| 13.            | <p><u>Controlled Congressional Inquiry Correspondence.</u> Files consist of copies of Congressional correspondence which are channeled through the National Office (NO) and for which the NO is responsible for selected (Letter "C") documents. Extra copies of correspondence and responses are kept in regional and area offices.</p> <p>Cut off annually at end of fiscal year. Destroy one year after cutoff.</p>   | NC174-76-1, Item 8         |                    |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO. | 8. DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO. | 10<br>ACTION TAKEN |
|----------------|---|----------------------------|--------------------|
| 14.            | <p><u>Noncontrolled Congressional or Priority Correspondence.</u> Files consist of correspondence between individuals and the regional or area office about OSHA programs on the regional or area office level. Noncontrolled Congressional correspondence and replies that are related to a specific case file may be included in the case file, if appropriate.</p> <p>Cut off annually at end of fiscal year. Destroy one year after cutoff.</p>   | NC174-76-1, Item 9         |                    |
| 15.            | <p><u>Speech Files.</u> Consist of incoming correspondence or invitations to speak, responses to invitations, schedules, work papers and other related documentation involving the planning of the speech.</p> <p>Destroy when superseded, obsolete or of no further reference value.</p>   | NC 100-76-1<br>Item 3      |                    |
| 16.            | <p><u>Reading or Chronological Files.</u> Extra copies of all or selected correspondence and associated logs or registers, if any, prepared and maintained by the originating office. Used solely as a reading or reference file for the convenience and information of personnel. Arranged chronologically.</p> <p>Cut off annually at the end of the fiscal year. Destroy one year after cutoff or after reference value is exhausted, whichever is sooner.</p>   | NC174-76-1, Item 3         |                    |
| 17.            | <p><u>Suspense Files (Tickler Files).</u> Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and, if not received, should be traced on a given date; or a transitory paper being held for reference that may be destroyed when action is completed. Normal arrangement is in a 31-unit "work organizer" folder by due date. Whatever arrangement is used, the office should assure that no record material is included. Use an extra copy rather than the official record document</p> <p>a. Notes, cards, control forms, reminders, etc., to submit a report or reply or take some action.</p> <p>b. File copies, or an extra copy of an outgoing or</p> | NC174-76-1, Item 4         |                    |



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO.                       | 10.<br>ACTION TAKEN |
|----------------|--|--|---------------------|
|                | <p>incoming communication, filed by the date a reply is expected.</p> <p>c. Transitory papers held in suspense pending the completion of a forthcoming action, until a short time (usually thirty days) has elapsed.</p> <p>Destroy on date <sup>suspended.</sup><br/><del>superceded.</del></p>   | <p>DWL<br/>9/23/77</p>                           |                     |
| 18.            | <p><u>Technical Reference Material.</u> Consists of copies of reports, studies, special compilation of data such as copies of computer printouts for administrative reference purposes, drawings, periodicals, clippings, etc., which are needed for reference and information purposes but are not made a part of official files, or included in greater detail in other items of this section or Section II. Prepared internally and externally. Arrangement is optional but, in most cases, it should follow the same basic principles used for library reference material.</p> <p>Review annually. Destroy material of no further reference value.</p>   | <p>NC174-76-1, Item 5</p>                        |                     |
| 19.            | <p><u>Transitory Material.</u> Papers of short term interest which have no documentary or evidential value and normally need not be kept more than six months. Recordkeepers can combine the types of temporary material shown below into one transitory file arranged chronologically and destroy after a short period.</p> <p>a. Routine requests for information, publication,<sup>s</sup> copies of photographs, or other informational<sup>^</sup> literature which require no administrative action, no policy or program decisions, and no special compilations or research for reply.</p> <p>Destroy after reply is made or information is furnished.</p> <p>b. Letters of transmittal that do not add information to that contained in the transmitted material.</p> <p>Destroy upon receipt.</p> | <p>NC174-76-1, Item 6</p> <p>DWL<br/>9/23/77</p> |                     |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO.           | 10<br>ACTION TAKEN |
|----------------|---|--------------------------------------|--------------------|
|                | <p>c. Quasi-official notices, memoranda and other papers that do not serve as a basis for official actions, such as notices of holidays or charity and welfare funds appeals, bond campaigns, and papers dealing with activities of employee associations or unions.</p> <p>Destroy when purpose has been served.</p>   |                                      |                    |
| 20.            | <p><u>Files Maintenance and Disposition Plans.</u> Documents such as the current "Files Maintenance Plan" for the file station, Designation of Files Custodian, copy of records transmittals (SF-135), and other information about the files accumulated at the particular file station. Normally, all contents can be retained in chronological order in a single file folder. The current "File Plan" should be fastened to the left side of this folder.</p> <p>Review annually. Retain all current documents. Destroy all obsolete material.</p>  | GRS 16.3                             |                    |
| 21.            | <p><u>Routine Control Files.</u> Papers used to facilitate or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records which control workflow and record action taken.</p> <p>Review annually. Destroy when work is completed or when no longer needed for operating purposes.</p>   |                                      |                    |
| 22.            | <p><u>Policy and Precedent Reference Files.</u> Copies of documents establishing policy or precedent pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies of regional program policy issuance will NOT be placed in this file. This file consists of <u>nonrecord copies</u> maintained <u>only</u> for convenience of reference.</p> <p>Review annually. Destroy when organizational unit is discontinued; or when documents become obsolete, or are of no further reference value.</p> | NC 174-<br>76-1<br>Items 2 and<br>5. |                    |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO.          | 10.<br>ACTION TAKEN |
|----------------|---|-------------------------------------|---------------------|
| 23.            | <p><u>Agency Directives and Publications - Reference Copies.</u> Copies of OSHA internal and external regulations, directives, publications; and Department of Labor manual releases, bulletins, circulars, pamphlets, and public relations material. Arranged as prescribed in directive system. Keep copies at minimum necessary for official reference use.</p> <p>Review annually. Destroy when superseded, obsolete or no longer needed for reference.</p> | <p>NC 100-<br/>76-1<br/>Item 24</p> |                     |
| 24.            | <p><u>Publications of Other Government Agencies.</u> Copies of Congressional documents, OMB Circulars, Code of Federal Regulations, Federal Register, GSA publications, etc. Maintain list in file folder and actual publication on shelving, or use other appropriate equipment if volume is large.</p> <p>Review annually. Destroy when superseded or obsolete, or when in bound volumes, when not needed for library purposes.</p>                           | <p>NC 100-<br/>76-1<br/>Item 24</p> |                     |
| 25.            | <p><u>Non-Government Publications.</u> Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar publications. Maintain list in file folder or card index and actual publications on shelving, or use other appropriate equipment if volume is large.</p> <p>Review annually. Destroy when superseded, obsolete or of no further reference value.</p>  | <p>NC-100-<br/>76-1<br/>Item 24</p> |                     |
| 26.            | <p><u>Library Material.</u> Books, pamphlets, journals, and similar material (originating outside DOL) which are maintained for reference. Arrangement is optional. Maintain list in file folder but keep materials on shelving.</p> <p>Review annually. Destroy when superseded, obsolete or no longer needed for reference. If library is available, refer items of potential value to librarian for disposition.</p>   | <p>NC 100-<br/>76-1<br/>Item 24</p> |                     |
| 27.            | <p><u>Nonrecord Material.</u> Nonrecord material consists of materials which have no documentary or evidential value. This type of material accumulates in offices</p>  | <p>NC 174-<br/>76-1<br/>Item 2</p>  |                     |

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|----------------|---|----------------------------|--------------------|
|                | <p>as a convenience to personnel, but should be kept to a minimum. Examples of this material are preliminary drafts of letters or reports, shorthand notes, worksheets whose contents are adequately summarized or included into other documents, printed or processed material of which only the single master is considered the official record, extra copy files, convenience files, and reference or nonrecord material not covered by other items in Sections I and II.</p> <p>Review annually. Destroy when superseded, obsolete or no longer needed for reference.</p> |                            |                    |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO | 10.<br>ACTION TAKEN |
|----------------|--|---------------------------|---------------------|
| 28.            | <p style="text-align: center;"><u>SECTION II--PROGRAM ADMINISTRATIVE MANAGEMENT AND CASE RECORDS</u></p> <p><u>Program Administration and Management Correspondence Files.</u> These files consist of incoming originals or official file copies of outgoing general program correspondence, reports, forms or other general program records designated as official record documentation. The files are created by OSHA regional (RO) and area (AO) offices while administering the various OSHA programs, and they document the functions and responsibilities for which OSHA offices are primarily responsible. These are the official files that are directly related to OSHA administration of program functions and should not be confused or maintained with the office administrative files outlined in Section I.</p> <p>OSHA offices that create these records in achieving their assigned mission or legal mandate are: Federal/State Operations, Management, Technical Support, Federal Agency Consultation, Training and Education, and Regional Administrators. Examples of functional program subjects are: advisory committees, compliance safety and health, standards safety and health, research and development, training, consultation and education, state programs, imminent danger, inspections, state plans, contested cases, penalty or abatement information, variances, OSHA forms when not included in a specific inspection or state plan case file, or correspondence related to OSHA programs in general. This material is arranged according to the <u>OSHA Program Subject Classification Guide</u>. The retention standard specified below will apply unless a separate item (series) for program correspondence material is included in this section.</p> <p>Cut off annually at end of fiscal year. Retire to the FARC two years after cutoff. Destroy seven years after cutoff.</p> |                           |                     |
| 29.            | <p><u>Financial Management Program Correspondence Files.</u> Program correspondence, reports, forms and other papers created by the RO and AO which relate to the basic responsibilities, operations, and administration of program financial management</p>   | NC174-76-1, Item 17       |                     |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO | 10<br>ACTION TAKEN |
|----------------|---|---------------------------|--------------------|
|                | <p>activities. These activities include such areas as fiscal management and budget. The files are similar to the types of records contained in Section I; however, they are usually maintained separately, since the documentation involves program financial planning of a long term nature.</p> <p>Cut off annually at end of fiscal year. Retire to the FARC two years after cutoff. Destroy five years after cutoff.</p>  |                           |                    |
| 30.            | <p><u>Financial Management Special Project Files.</u> These files relate to special projects to implement various types of financial management systems. They include such items as organization charts, Gantt charts, progress reports, worksheets, correspondence and other papers related to the specific financial project. An example of a project would be Implementation of Cost Accounting in OSHA Programs.</p> <p>Cut off annually at end of fiscal year in which project is completed. Destroy three years after cutoff.</p>   | NC174-76-1, Item 19       |                    |
| 31.            | <p><u>State Program Activity Report Files.</u> This file consists of the quarterly occupational safety and health program activity report from states approved by OSHA to conduct their own occupational safety and health programs. The file includes a duplicate administrative copy of the original transmittal letter and the report submitted to the NO describing the state's compliance activity, variance requests granted, and status of the States' Standards Developed. The NO maintains the official record documentation. Regional and area offices may retain systems printout reports with the state plan, if appropriate. Arranged alphabetically.</p> <p>Cut off annually. Destroy when obsolete, superseded or of no further reference value.</p> | NC100-76-1, Item 180      |                    |
| 32.            | <p><u>Semiannual Evaluation Report Files.</u> This file consists of OSHA's semiannual and quarterly evaluation of approved state occupational safety and health programs. The evaluation reports are prepared by the regional office and transmitted to the NO and the state. The preparing office maintains the</p>  | NC100-76-1, Item 181      |                    |

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

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|----------------|--|----------------------------|--------------------|
| 33.            | <p>official record copy. The file contains the report and related correspondence. Arranged chronologically.</p> <p>Cut off annually at end of fiscal year. Retire to the FARC five years after cutoff. Destroy 10 years after cutoff.</p> <p><u>Compliance Activity Statistical Reports.</u> Consist of reports on a monthly, quarterly and yearly basis relating to industry compliance with established OSHA program standards. The NO Division of Operation maintains the official record copy of monthly, quarterly or yearly (permanent) reports.</p> <p>Regional and area office copies are used mainly for administrative purposes. Arranged chronologically.</p> <p>a. <u>Monthly and quarterly reports.</u> Cut off annually at end of fiscal year. Destroy one year after cutoff.</p> <p>b. <u>Yearly reports.</u> Cut off annually at the end of the fiscal year. Destroy three years after cutoff.</p> | NC100-76-1, Item 47        |                    |
| 34.            | <p><u>Management Information System Files (MIS).</u> These files consist of signed or unsigned official file copies of forms and transmittal sheets submitted monthly by OSHA regional and/or area offices to the NO. Information from the forms makes up the data base, periodic computer printouts or the updated ADP master tapes. Duplicate copies used for input into the ADP system are also maintained in the NO. Selected MIS forms may be included in specific case files if appropriate. Arranged chronologically.</p> <p>Cut off annually at the end of the fiscal year. Destroy two years after cutoff.</p>  | NC100-76-1, Item 46        |                    |
| 35.            | <p><u>Program Inquiry Correspondence Files.</u> These files consist of official copies of incoming correspondence and responses regarding nonroutine inquiries on specific OSHA program administration. These inquiries are generally controversial in nature, require extensive research, or require administrative</p>   | NC100-76-1, Item 221       |                    |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9<br>SAMPLE OR<br>JOB NO   | 10<br>ACTION TAKEN |
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|                | <p>decisions or responses. This material may involve interpretation of OSHA programs in general or a specific case file. When a case file is affected, the documentation should be cross-referenced to the case file to assure adequate case file documentation. Those inquiries that significantly affect RO or AO OSHA policy should be governed by Items 28 and 36 of this section. Arranged by subject, thereunder alphabetically.</p> <p>a. <del>Nonroutine program inquiries.</del> Cut off annually at end of fiscal year. Retire to the FARC two years after cutoff. <i>Destroy six years after cutoff</i></p> <p>b. <del>Routine requests. Destroy six months after reply is made or information is furnished.</del></p>   |  |                    |
| 36.            | <p>Policy and Procedure (Issuances) Record Set. Consists of the "Record Set" of regional office originated program memoranda or directives (including superseded items). The documents could be originals or copies but should be identified as the record copy. The set includes policy directives, or other RO issuances which outline policy or procedures for program direction or administration and are not interpretations of NO policy issuances. This material should not be confused or filed with reference copies listed in Section I, Items 22 and 23. OSHA National Office maintains the "Record Set" of OSHA nationwide policy issuances. OSHA policies or procedures evolve from internal program management review, court decisions, committee decisions, or interrelationships with the general public. Supporting material, work papers, and correspondence for policy and procedures issuances should be maintained with program correspondence, as called for by Item 28. Arranged in loose leaf binders in accordance with the DOL Directives System.</p> <p>a. <u>Regional office record set.</u> Permanent. Cut off at the end of the fiscal year that issuance becomes canceled or superseded and place in inactive file. Retire to the FARC in five-year increments. Offer to NARS 10 years after cutoff.</p> <p>NOTE: 5½ cubic feet maintained nationwide;<br/>                 1 cubic foot created per year.</p> | <p><i>DWL/Abeyta</i><br/> <i>9/23/77</i></p> <p><del>NC174-76-1, Item 6</del></p> <p>NC100-76-1, Item 86</p> |                    |



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| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO  | 10.<br>ACTION TAKEN |
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| 37.            | <p>b. <u>Duplicate copies of issuances (directives).</u> Maintained for reference purposes. Review annually. Destroy when superseded, obsolete or of no further reference value.</p> <p>c. Clearance forms, transmittal letters, research materials, work papers and related backup materials.</p> <p>Destroy on publication of policy or procedure.</p> <p><u>State Plan Case Files.</u> The state plan files consist of documentation created by OSHA regional or area offices and states while consulting, developing, implementing and monitoring state plans in conjunction with a state government. Each OSHA region develops its own format for obtaining basic information on state operations in response to National Office policies for the purpose of evaluation. At a minimum, the state plan case file should contain the following as part of the official documentation:</p> <p>State plan; state OSH legislation; administrative regulations equivalent to the Federal OSH Regulations; field operations manuals; management information system forms similar to OSHA Forms 1, 2, 3, etc.; standards; Federal- or state-initiated changes to state plans; state semiannual and quarterly correspondence reports; semiannual reports on state operations; monitoring data such as case file reviews, on-the-job notes, written material on variances, "CASPA" documentation, miscellaneous administrative material; drafts of state plan; public comments and transcripts of public hearings; related grants and associated data; funding agreements with state personnel doing OSHA enforcement activity; and selected program correspondence that relates to the specific state plan.</p> <p>Copies of state plans are available in the state, OSHA regional or area offices, or in the National Office. Generally, the office that administers the state plan has the most complete, up-to-date case file and program correspondence to support the state plan. The OSHA National Office maintains the</p> | NC100-76-1, Items 181-183. |                     |

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| 7.<br>ITEM NO. | 8 DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)   | 9.<br>SAMPLE OR<br>JOB NO             | 10<br>ACTION TAKEN |
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|                | <p>official (permanent) record of the state plan. Regional and area office plan copies are used for administrative purposes or for reference review purposes by the general public. Arranged alphabetically by name of state.</p> <p>a. <u>Regional or area office administrative copies.</u><br/>                     Cut off at the end of the fiscal year that state plan is withdrawn, disapproved or discontinued. Destroy five years after cutoff.</p> <p>b. <u>Regional or area office reference copies.</u><br/>                     Destroy when obsolete or discontinued.</p>  | <p>NC100-76-1, Item 157</p>           |                    |
| 38.            | <p><u>Discrimination Complaint Case Files.</u> Consist of correspondence; OSHA forms prepared from incoming telephone calls, logs or registers; complaint forms; reinvestigation research data; investigation findings; settlement forms; final reports; documents outlining final disposition of case; transmittal letters or other records necessary to assure complete documentation of the case. These complaints are initiated by employees of private firms under OSHA jurisdiction. The complaint may be formal or informal. It generally results from a notification by the employee to OSHA that administrative action has been taken against him/her for reporting unsafe conditions to OSHA, or complaining to OSHA about health conditions or any OSHA-related program responsibilities or functions. Summary data may be included by the investigating office in a specific inspection case file, if appropriate. Duplicate copies of cases or case file contents are treated as reference material. Arranged alphabetically or numerically.</p> <p>Cut off at fiscal year end that case is closed. Retire to FARC three years after cutoff. Destroy five years after cutoff.</p> | <p><del>NC174-76-1, Item 11</del></p> |                    |
| 39.            | <p><u>Contract Monitoring Case Files.</u> Working files maintained by OSHA regional and area offices for monitoring contracts or agreements with universities or other institutions in the development and conducting of OSHA programs. Case papers include duplicate copies of documents found in <u>Purchase or</u></p>  | <p>NC100-76-1, Item 232</p>           |                    |

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|                | <p>Contract Transaction Files, Section I, and additional backup materials such as notes and working papers concerning contractor activities; evaluation of contractor proposals, submissions and reports; copies of correspondence concerning sub-contractor activities; and routine communications pertaining to administering the individual contract or interagency agreement. Arranged alphabetically or numerically.</p> <p>Cut off at end of fiscal year that the contract is terminated. Retire to FARC two years after cutoff. Destroy six years after cutoff.</p>  |   |                    |
| 40.            | <p><u>Subject Reference Material.</u> Subject reference material is used by OSHA program offices for informational purposes but is not made part of the official files. This material should include reference material not outlined in Section I. Subject reference material is used by OSHA offices to support or create official documentation and assist offices to achieve their assigned mandate. The material consists of duplicate copies of reports, forms, correspondence, books, periodical pamphlets, newspaper clippings or similar material used for reference purposes. The reference material is related to most OSHA program functions and subjects, including safety and health standards development, OSHA publications, construction, variance determination, program directives copies, health hazards, compliance correspondence copies, investigation inspections, state plan development and monitoring, chemistry, electrical, explosives, fire, industrial hygiene, machine guarding, mining, and radiation.</p> <p>Review annually. Destroy material when superseded, obsolete or of no further reference value.</p> | <p><del>NC100-76-1, Item 3, etc.</del><br/>                 NC 174-76-1<br/>                 Item 5</p> |                    |
| 41.            | <p><u>Employer/Employee Training Record Files.</u> Consist of documents which constitute the individual record of training received under OSHA educational training contracts. The forms are used to prepare the annual review and analysis report and the report to Congress.</p> <p>Transfer to inactive files when the annual report is prepared. Destroy when succeeding report is published.</p>   | <p>NC100-76-1, Item 238;<br/>                 NN165-50, Item 17</p>                                     |                    |

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| 42.           | <p><u>Training Program Files.</u> Consist of scripts and other written materials prepared for training programs in OSHA. Official copies of these documents are maintained by the NO Technical Data Center. These records involve training that OSHA prepares and conducts rather than receives.</p> <p>Destroy materials which are obsolete, superseded or of no further reference value.</p> | NC100-76-1, Item 241;<br>NN165-50, Item 12 |                    |