INTRODUCTION

Schedule Overview

Department of Labor, Occupational Safety and Health Administration (OSHA) was established pursuant to the Occupational Safety and Health Act of 1970. Under the Occupational Safety and Health Act of 1970, employers are responsible for providing a safe and healthy workplace for their employees. OSHA's role is to promote the safety and health of America's working men and women by setting and enforcing standards; providing training, outreach and education; establishing partnerships; and encouraging continual process improvement in workplace safety and health. This schedule covers safety and health inspection records created in area and field offices.

Additional Background Information This schedule changes the disposition of Fatality/Catastrophe case files from permanent/select to temporary. These records were originally scheduled as temporary in 1977 and 1982, then scheduled for archival selection in 1990. The case file contains evidence of the incident plus inspections and workplace compliance activities under OSHA regulations and Federal laws. However, National Institute of Occupational Safety and Health also investigates and documents fatal accidents, publishing the results in its Fatality Assessment and Control Evaluation Program, which are posted on the NIOSH web site. These accident reports provide a concise summary of events, contributing factors and recommendations, providing a widely accessible and thorough substitute for the OSHA case files. In addition, In 1990 NARA rescheduled case files of the Occupational Safety and Health Review Commission as temporary (N1-455-90-1, item 1). These records consisted of appeals contesting OSHA issued citations for violations of safety and health standards and included cases involving fatalities. This schedule also eliminates the distinction between record copies and other copies made in earlier schedules (NC1-100-82-1, items 1, 3, 7, 10, 11, and 13, and N1-100-90-1, item 23).

Overall Recommendation

I recommend approval of this schedule.
APPRAISAL

**Item 0001: General Materials** including correspondence, reports, meeting agenda and notes related to the administration of safety and health inspection activities in OSHA area/field offices.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

*Has little or no research value.
*Does not document the significant actions of Federal Officials
*Electronic format does not enhance the value of the records
*Previously scheduled as temporary in NC1-100-82-1, items 1A, 1B, 3A, 3B, 4, and 5

**Adequacy of Proposed Retention Period(s)**

*Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0002: Policy Materials** reflecting policy and precedent related to planning and directing the inspection program, exclusive of published manual, directives and instructions.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

*Policy directives and issuances for regional programs are scheduled as permanent at the headquarters level in NC1-100-76-1, item 133. Regional Office originated directives are scheduled as permanent in NC1-100-77-1, item 36.

*Has little or no research value.
*Does not document the significant actions of Federal Officials
*Electronic format does not enhance the value of the records
*Previously scheduled as temporary in NC1-100-82-1, item 2

**Adequacy of Proposed Retention Period(s)**
Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0003: Inspections with Citations Issued-No Personal Sampling** consisting of cases created during specific establishment inspections where violations occurred or citations were issued, including follow up inspections and monitoring reports.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

*Has little or no research value.

*Does not document the significant actions of Federal Officials

*Electronic format does not enhance the value of the records

*Previously scheduled as temporary in NC1-100-82-1, items 7A and 7B

**Adequacy of Proposed Retention Period(s)**

*Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0004: Fatalities/Catastrophes Case Files** containing correspondence, memoranda, inspections and reports involving safety and health fatalities or catastrophes, including follow up inspections and monitoring reports.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

*Revises previous schedule as permanent in N1-100-90-1, item 23A.

*National Institute of Occupational Safety and Health maintains and publishes records on workplace fatalities, providing alternate source of detailed information across a range of industries and conditions, scheduled as permanent in N1-442-91-011, items 12b and 12d1

*Does not document the significant actions of Federal Officials

*Electronic format does not enhance the value of the records
*Similar case files at the Occupational Safety and Health Review Commission are scheduled as temporary in N1-455-90-1, item 1

**Adequacy of Proposed Retention Period(s)**

* Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0005: Inspections In Compliance or No Inspection-No Personal Sampling** consisting of case files of inspections where no violations were cited, only a safety records review occurred or no personal sampling data was collected.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

* Has little or no research value.

* Does not document the significant actions of Federal Officials

* Electronic format does not enhance the value of the records

* Previously scheduled as temporary in NC1-100-82-1, items 10A and 10B

**Adequacy of Proposed Retention Period(s)**

* Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0006: Inspections with Personal Sampling** consisting of case files for health and safety inspections in which personal sampling data was collected, including follow up inspections and monitoring reports.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

* Has little or no research value.

* Does not document the significant actions of Federal Officials

* Electronic format does not enhance the value of the records
*Previously scheduled as temporary in NC1-100-82-1, items 11A and 11B

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

**Item 0007: Non-Formal Complaints and Referrals** consisting of rapid response investigation case files related to complaints and referrals which do not lead to a formal inspection

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value.

*Does not document the significant actions of Federal Officials

*Electronic format does not enhance the value of the records

*Previously scheduled as temporary in NC1-100-82-1, items 13A and 13B

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

**Item 0008: Invalid Complaints** documenting complaints or incidents not related to occupational safety or health or not covered by OSHA, including appeals of invalid determinations.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value.

*Does not document the significant actions of Federal Officials

*Electronic format does not enhance the value of the records

*Previously scheduled as temporary in NC1-100-82-1, item 20
Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

**Item 0009: Whistleblower Investigation Case Files** documenting allegations of employer discrimination or retaliation against employees who report violations or cooperate with OSHA inspections, including correspondence contact records, research data, investigative findings, reports and any participation in litigation.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

*Has little or no research value.

*Does not document the significant actions of Federal Officials

*Electronic format does not enhance the value of the records

*Previously scheduled as temporary in NC1-100-82-1, item 21 and NC1-100-77-1, item 38

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

**Media Neutrality:** Approved

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David Weber

DAVID WEBER

Appraiser