

DEPARTMENT OF LABOR
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH
COMPLIANCE BUREAU
SAFETY AND HEALTH COMPLIANCE EAST AND WEST

Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

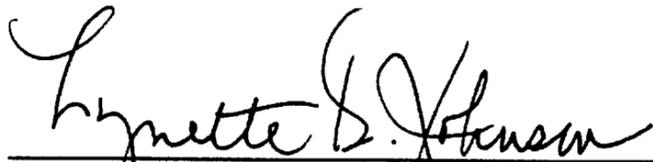
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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed.** The

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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Lynette Johnson, Chief Records Officer
Department of the Labor



Kevin Beaugard, Assistant Deputy Commissioner
Division of Occupational Safety and Health



John Johnson, Deputy Commissioner
Division of Occupational Safety and Health



David J. Olson, Director
Division of Historical Resources

APPROVED



Cherie K. Berry, Commissioner
Department of Labor



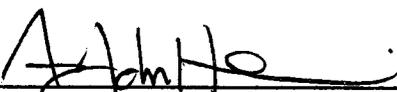
Lisbeth C. Evans, Secretary
Department of Cultural Resources

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

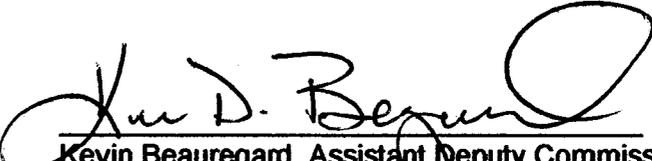
DEPARTMENT OF LABOR
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH
BUREAU OF COMPLIANCE
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Amend the records retention and disposition schedule approved October 11, 2002 by adding Item 35274 as shown on substitute pages dated January 31, 2005.

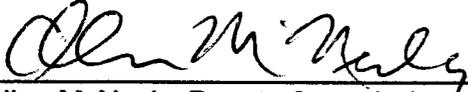
APPROVAL RECOMMENDED



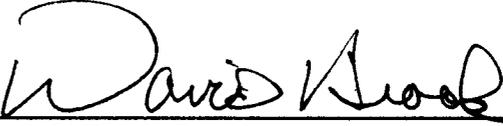
John Hoomani, Acting Chief Records Officer
Department of the Labor



Kevin Beaugard, Assistant Deputy Commissioner
Division of Occupational Safety and Health

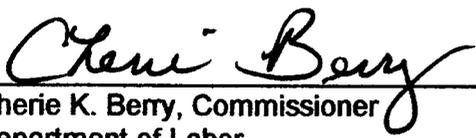


Allen McNeely, Deputy Commissioner
Division of Occupational Safety and Health

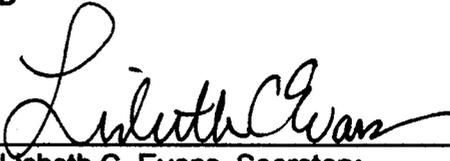


David Brook, Director
Division of Historical Resources

APPROVED



Cherie K. Berry, Commissioner
Department of Labor



Lisbeth C. Evans, Secretary
Department of Cultural Resources

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Item 2458. ACTIVE INSPECTION CASES FILE. Records in paper and electronic formats and microforms concerning all inspections of businesses and industries for fatal/catastrophic and non-fatal/catastrophic cases performed by the division. File includes assignment Worksheets (1b's), inspection and accident reports; inspectors' narratives; completed forms listing descriptions of conditions, standards violated, formulations of penalties, sampling, and other related information; correspondence to and from complainants; letters to the employer; photographs and Compliance Officer's (CSHO) created sketches and diagrams of conditions cited; abatement monitoring and follow-up reports; reference copies of affidavits and warrants; orders from hearing examiners; and other related records. File also includes citation(s), contested cases, final orders and informal settlement agreements. (File may also include video and audio recordings). Case numbers, inspection dates and types, follow-up inspection dates, descriptions of conditions, closing dates, company names, standards violated, complainants' names, and other related data are entered into Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) and routinely updated. (Comply with applicable provisions of 13 NCAC 07A.0303, G.S. 95-136 and 95-152, 29 CFR 1903.9, and 29 USCA 664 regarding confidentiality of records.) (File maintenance and backup procedures conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records that were printed and filed when reference value ends. Transfer final orders, informal settlement agreements; all inspection generated OSHA forms including abatements, sampling forms, investigative summaries (narratives), inspection and accident reports, citation(s), Worksheets (1b's), letters to the employer, letters to the complainant, and other related forms to Planning, Statistics, and Information Management (PSIM) Inactive Inspections Cases File (Item 46018) to be scanned when case becomes inactive. For fatality/catastrophe (FAT/CAT) and accident cases only, transfer witness statements, Compliance Officer's (CSHO) created sketches and diagrams, photographs or digital images to (PSIM) Inactive Inspections Cases File (Item 46018) to be scanned when case becomes inactive. Transfer any video and/or audio media for fatality/catastrophe (FAT/CAT) and accident cases only to (PSIM) Video, Audio, and Photographic File (Item 46696). Destroy or return to rightful owner remaining paper records and/or other obtained evidence, when reference value ends. Destroy microfilm currently stored in agency after 50 years. Retain microfilm currently held in Archives vault permanently.

Item 35250. NO INSPECTIONS FILE. Records concerning proposed inspections of businesses and industries which were not made because the firm was no longer in operation. File includes inspection reports, inspectors' narratives, and other related records. (Comply with applicable provisions of G.S. 95-136 and 29 CFR 1951.47 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years. Destroy microfilm currently stored in security vault and agency after 40 years.

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Item 35251. ACTIVE COMPLAINT INVESTIGATIONS FILE. Records in paper and electronic formats concerning complaints of health or safety violations which do not result in inspections. File includes correspondence to employers outlining complaints, correspondence to complainants, completed forms outlining alleged health or safety hazards, and other related records. Case numbers, company names, closing dates, actions taken, descriptions of complaints, and other related data are entered into the Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) and routinely updated. (Comply with applicable provisions of 13 NCAC 07A.0303, G.S. 95-136 and 95-152, 29 CFR 1903.9, and 29 USCA 664 regarding confidentiality of records.) (File maintenance and backup procedures conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records that were printed and filed when reference value ends. Transfer paper records to Planning, Statistics and Information Management, Inactive Complaint Investigations File (Item 46019) to be scanned when records become inactive. Destroy microfilm currently stored in security vault and agency immediately.

Item 35274. DESIRED STATE REPORTS (PRINTOUTS) FILE. Monthly computer generated printouts submitted to the division listing inspections with citations pending, employers due to respond to non-formal complaints, employers recommended for follow-up inspections, monthly fatality reports, weekly activity reports, and other related information. Inspection dates and types, companies' names, monthly fatality reports, weekly activity reports, and other related data are entered into Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) in order to generate these computer printouts. Amended 01-31-05.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 35633. CORRESPONDENCE WORD PROCESSING (ELECTRONIC) FILE. Electronic records concerning correspondence to employers who are scheduled for informal conferences. Correspondence is entered into this electronic file. (File maintenance and backup procedures are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator).

DISPOSITION INSTRUCTIONS: Erase in office when administrative value ends.

Item 35634. HOST/LOCAL REPORTS FILE. Reference copies of monthly computer printouts listing inspections with citations pending, names of employers due to respond to non-inspected complaints, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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Item 46694. COMPLAINT/FATALITY LOG (ELECTRONIC) FILE. Electronic records concerning complaints of safety and health hazards associated with specific work sites. Electronic file includes name of intake officer, date of complaint, name and address of employer, safety or health violations reported, and supervisor assigned.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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ITEM 35274. DESIRED STATE REPORTS (PRINTOUTS) FILE.

Monthly computer generated printouts submitted to the division listing inspections with citations pending, employers due to respond to non-formal complaints, employers recommended for follow-up inspections, monthly fatality reports, weekly activity reports, and other related information. Inspection dates and types, companies' names, monthly fatality reports, weekly activity reports, and other related data are entered into Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) in order to generate these computer printouts. Amended 01-31-05.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.