

DEPARTMENT OF LABOR  
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH  
PLANNING, STATISTICS AND INFORMATION MANAGEMENT

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

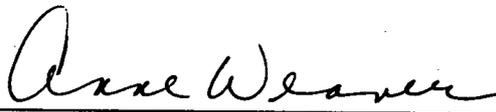
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

**APPROVAL RECOMMENDED**

  
Lynette Johnson, Chief Records Officer  
Department of the Labor

  
John Johnson, Deputy Commissioner  
Division of Occupational Safety and Health

  
Anne Weaver, Bureau Chief  
Planning Statistics and Information Management

  
David J. Olson, Director  
Division of Historical Resources

**APPROVED**

  
Cherie K. Berry, Commissioner  
Department of Labor

  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 15, 2002

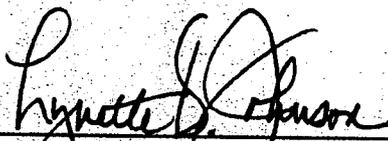
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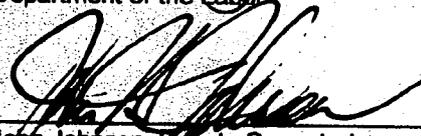
RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

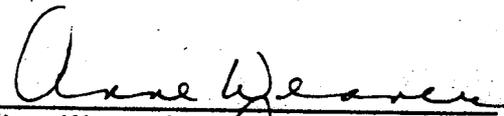
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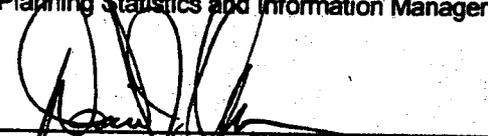
Amend the records retention and disposition schedule approved November 15, 2002 by changing the disposition instructions for Item 35247 as shown on substitute pages dated March 31, 2003.

APPROVAL RECOMMENDED

  
Lynette Johnson, Chief Records Officer  
Department of the Labor

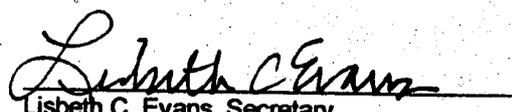
  
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David J. Olson, Director  
Division of Historical Resources

APPROVED

  
Cherie K. Berry, Commissioner  
Department of Labor

  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

March 31, 2003

JCG

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**ITEM 35247. DISCLOSURES FILE.**

Records in paper and electronic formats concerning inspection and complaint cases from which confidential information has been deleted. File also includes correspondence to the section requesting information and letters of response. (File is submitted to individuals requesting information about inspections and complaints). (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.) Amended 3-31-03.

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto server when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Erase/destroy electronic records with no violations and no sampling on server 5 years after file is closed. Erase/destroy electronic records with violations but no sampling on server 10 years after file is closed. Erase/destroy electronic records with sampling on server 40 years after file is closed. Erase/destroy electronic records of high profile or fatal and catastrophic/accident inspections on server 50 years after file is closed. Destroy microfilm currently stored in agency and Archives security vault 50 years from date of record.

**ITEM 35269. ANNUAL COMPARISONS REPORTS FILE.**

Annual reports listing inspection and violation types, penalty assessments, numbers of inspections contested, numbers of fatalities investigated, and other statistics and summaries for programs of the division. Inspection and violation types, amounts of penalty assessments, and other related data are entered into Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) in order to generate these reports.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each report to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Retain in office 1 copy of each report permanently. Destroy in office remaining copies when reference value ends.

**ITEM 35273. CONSULTATIVE ACTIVITY MEASURE REPORTS (PRINTOUTS) FILE.**

Computer generated printouts listing information used to measure the performance of consultative activities of the division. (Information is transmitted electronically by the Occupational Safety and Health Administration in Washington, D.C., via Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278)).

DISPOSITION INSTRUCTIONS: Records transferred to Bureau of Consultative Services, Activity Printouts File (Item 35255).

**ITEM 35277. MONTHLY FATALITY REPORTS FILE.**

Monthly reports listing occupational fatalities reported to the division, employers' names, causes of death, penalty assessments, violations cited, and other related information. File also includes end-of-year fatality reports. Employers' names, causes of death, amounts of penalty assessments, violations cited, and other related data are entered into the Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278), Compliance Bureau, Host/Local Reports File (Item 35634), or Complaint/Fatality Log (Electronic) File (Item 46694) in order to generate these reports.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each end-of-year report to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office monthly reports upon completion of end-of-year report. Destroy in office remaining copies of end-of-year reports when administrative value ends.

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**ITEM 35281. INSPECTION HISTORY AND DATA REPORTS FILE.**

Correspondence to and from the section concerning requests for information from members of the general public or media. File also includes computer generated printouts listing companies' inspection histories, violations cited, and other related information. Inspection dates and types, company names, violation types, and other related data are entered into Occupational Safety and Health Administration (OSHA) Database (Electronic) File (Item 35278) or Inspection Targeting System Database (Electronic) File (Item 35283) in order to generate these computer printouts.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 35283. INSPECTION TARGETING SYSTEM DATABASE (ELECTRONIC) FILE.**

Electronic records concerning employers targeted for safety or health inspections. Company names and addresses, numbers of employees, inspection histories, and other related data are entered into this electronic file. (File maintenance and backup procedures are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator). (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.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when administrative value ends.

**ITEM 44705. OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) DATA COLLECTION SURVEY FILE.**

Surveys received from various private employers. Surveys list the number of employees, number of hours worked, and data for days away from work or restricted work duty from Injury and Illness Log data.

DISPOSITION INSTRUCTIONS: Destroy records eligible to be assigned for inspection 5 years after declared inactive. Destroy records not eligible to be assigned for inspection 3 years after declared inactive.

**ITEM 46019. INACTIVE 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. (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 are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator).

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto server when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Erase/destroy electronic records on server 5 years from date complaint was filed with the Department of Labor.

**ITEM 46020. NORTH CAROLINA PUBLIC SECTOR DATA COLLECTION SURVEY FILE.**

Surveys received from various public employers. Surveys list the number of employees, number of hours worked, and data for days away from work or restricted work duty from Injury and Illness Log data.

DISPOSITION INSTRUCTIONS: Destroy records eligible to be assigned for inspection 5 years after declared inactive. Destroy records not eligible to be assigned for inspection 3 years after declared inactive.

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**ITEM 46031. INACTIVE MIGRANT HOUSING COMPLIANCE CASES FILE.**

Records in paper and electronic formats concerning all migrant housing and field sanitation inspections for fatal/catastrophic and non-fatal/catastrophic cases performed by the Agricultural Safety and Health Bureau. File includes final orders, informal settlement agreements, all inspection generated OSHA forms including abatements, sampling forms, investigative summaries, inspection and accident reports, citation(s), 1b Worksheets, letters to the employer, letters to the complainant, and other related forms. File also includes witness statements, photographs or digital images for fatality/catastrophe (FAT/CAT) and accident cases; and Compliance Officer's (CSHO) created sketches and diagrams. (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 are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator).

**DISPOSITION INSTRUCTIONS:** Scan in office paper records and record onto server when received. Transfer scanned paper records with high profile cases or with fatal and catastrophic/accidents inspections to the State Records Center after all quality control procedures have been completed. Records will be held in the State Records Center 50 years from date file closed and then transferred to the custody of the Archives. Destroy in office remaining paper copies of scanned records 30 days after all quality control procedures have been completed. Erase/destroy electronic records with no violations and no sampling on server 5 years after file is closed. Erase/destroy electronic records with violations but no sampling on server 10 years after file is closed. Erase/destroy electronic records with sampling on server 40 years after file is closed. Erase/destroy electronic records of high profile or fatal and catastrophic/accident inspections on server 50 years after file is closed.

**ITEM 46088. INACTIVE MIGRANT HOUSING COMPLAINT INVESTIGATION 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. (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 are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator).

**DISPOSITION INSTRUCTIONS:** Scan in office paper records and record onto server when received. Destroy in office paper copies of scanned records 30 days after all quality control procedures have been completed. Erase/destroy electronic records on server 5 years from date complaint was filed with the Department of Labor.

**ITEM 46695. NORTH CAROLINA PERFORMANCE INDICATOR REPORTS FILE.**

Records in paper and electronic formats concerning North Carolina Performance Plan. File includes monthly activity reports of statistical data related to the division's performance and strategic goals, monthly and annual statistical results of the division's performance and strategic goals, spreadsheets detailing the related statistical data, and other associated records. (File maintenance and backup procedures are 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 which were printed and filed 10 years after declared inactive. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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**ITEM 46696. VIDEO, AUDIO, AND PHOTOGRAPHIC FILE.**

Video, audio, photographic, and other media relating to inspection cases. File includes VHS tapes, 8 mm tapes, audiotapes, CD's, and photographic slides.

DISPOSITION INSTRUCTIONS: Destroy media with no violations and no sampling 5 years after file is closed. Destroy media with violations but no sampling 10 years after file is closed. Destroy media with sampling 40 years after file is closed. Destroy media records of high profile or fatal and catastrophic/accident inspections 50 years after file is closed.

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**ITEM 46018. INACTIVE INSPECTIONS CASES FILE.**

Records in paper and electronic formats concerning all inspections of businesses and industries for fatal/catastrophic and non-fatal/catastrophic cases performed by the division. File includes final orders, informal settlement agreements, all inspection generated OSHA forms including abatements, sampling forms, investigative summaries, inspection and accident reports, citation(s), 1b Worksheets, letters to the employer, letters to the complainant, and other related forms. File also includes witness statements, photographs or digital images, Compliance Officer's (CSHO) created sketches and diagrams for fatality/catastrophe (FAT/CAT) and accident cases only. (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 are conducted by Department of Labor, Information Technology Division, Local Area Network (LAN) Administrator).

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto server when received. Transfer scanned paper records with high profile cases or with fatal and catastrophic/accident inspections to the State Records Center after all quality control procedures have been completed. Records will be held in the State Records Center 50 years from date file closed and then transferred to the custody of the Archives. Destroy in office remaining paper copies of scanned records 30 days after all quality control procedures have been completed. Erase/destroy electronic records with no violations and no sampling on server 5 years after file is closed. Erase/destroy electronic records with violations but no sampling on server 10 years after file is closed. Erase/destroy electronic records with sampling on server 40 years after file is closed. Erase/destroy electronic records of high profile or fatal and catastrophic/accident inspections on server 50 years after file is closed.

