

FTL Records Management



Record Keeping

Item	Records Title /Description	Disposition Instruction	Disposition Authority	Location	Format	Custodian	
1	General Materials	General correspondence, activity reports, meetings and other materials relating to safety and health inspection and other administrative functions in OSHA's regional/area/field offices. Does not include advisory committees.	Temporary. Destroy no sooner than 3 years after completion or when no longer needed for reference.	DAA-0100-2018-0002	Case Files	Paper	Sibilia, Yulissa
2	Policy Materials	Records and other materials reflecting policy, precedent, and the like relating to planning, developing, and directing the federal inspection program. Does not include published instructions, directives, manuals and the like. (Programmed activities such as LEP, NEPS)	Temporary. Destroy when superseded or obsolete.	DAA-0100-2018-0002	Binders in cabinet located in AAD Cabrera Office	Paper	AAD Cabrera, Beatriz

Record Keeping

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3	Inspections with Citations issued – No Personal Sampling Case files of safety/health inspection relating to a specific safety/health inspection in a specific establishment where violation(s) occurred and/or where citation(s) issued including the General Duty Clause (5(a)(1) of the Act. Includes related follow up inspections and Proposed Modification of Abatement (PMA) monitoring reports.	Temporary. Destroy 6 years after case is closed.	DAA-0100-2018-0002	FTL AO File Cabinet Location #1 FTL AO Closed Case File/DCAT Cabinet Records Room for 3 years than transferred to FRC CD stored for 6 years at FTL AO Closed Case File/DCAT Cabinet Records Room	Paper Case Folder/cd Paper Case Folder/cd Digital Picture CD	Sibilia, Yulissa
4	Fatalities/Catastrophes Correspondence, memoranda, inspections, reports and other records involving safety and health fatalities and/or catastrophes including follow-up inspections and Proposed Modification of Abatement (PMA) monitoring reports.	Temporary. Destroy 40 years after case is closed.	DAA-0100-2018-0002	FTL AO File Location #1 FTL AO Closed Case File/DCAT Cabinet Records Room for 3 years than transferred to FRC CD stored for 40 years at FTL AO Closed Case File/DCAT Cabinet Records Room	Paper Case Folder/cd Paper Case Folder/cd	Sibilia, Yulissa

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5	Inspections In-Compliance or No Inspection – No Personal Sampling	Case files of safety inspections and/or health inspections where no violations were cited. Includes inspections where only a safety records review was conducted or consists of inspections where personal sampling data was not collected.	Temporary. Destroy 3 years after case is closed; no transfer to FRC required.	DAA-0100-2018-0002	FTL AO File Cabinet Location #1 FTL AO Closed Case File/DCAT Cabinet Records Room	Paper Case Folder/cd Paper Case Folder/cd	Sibilia, Yulissa
6	Inspections with Personal Sampling	Case files of health inspections and combined safety/health inspections. Consists of all such inspections, including health and safety in-compliance inspections, where personal sampling data was collected. Includes related follow up inspections and PMA monitoring reports.	Temporary. Destroy 40 years after case is closed.	DAA-0100-2018-0002	FTL AO File Location #1 FTL AO Closed Case File/DCAT Cabinet Records Room for 3 years than transferred to FRC CD stored for 40 years at FTL AO Closed Case File/DCAT Cabinet Records Room	Paper Case Folder/cd Paper Case Folder/cd	Sibilia, Yulissa

Record Keeping

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7	Non-Formal Complaints and Referrals	Investigation case files including rapid response investigations (RRI) relating to complaints and referrals concerning unsafe or unhealthy conditions in an establishment. No inspection is made of the establishment. Except non-formal complaints which become formal and result in an inspection, see items 5 and 6 above, as appropriate.	Temporary. Destroy 3 years after case is closed; no transfer to FRC required.	DAA-0100-2018-0002	Desk next to AAD Torres office in labeled Binder Electronic copy maintained in Inbox Complaints.F140@dol.gov	Paper	Sibilia, Yulissa
8	Invalid Complaints	Complaints or fatalities which are not related to occupational safety and health or are not covered by OSHA. Includes appeals where the Area Office Director determines the complaint is invalid for redress and the complainant appeals the decision. Except successful appeals are disposed in accordance with the appropriate item elsewhere in this schedule.	Temporary. Destroy when 1 year old; no transfer to FRC required.	DAA-0100-2018-0002	Filing Cabinet FTL AO File location #1	Paper	Sibilia, Yulissa

Record Keeping

Item	Records Title /Description		Disposition Instruction	Disposition Authority	Location	Format	Custodian	
9	Whistleblower Investigation Case Files		Investigative files and records dealing with employer discrimination or retaliation (under Section 11c of the OSH Act) against employees who report violations of the Act or cooperate with OSHA inspections or any of the more than 20 whistleblower laws. Consists of, but not limited to correspondence, telephone calls/logs, forms, research data, investigation findings, final reports, Alternative Dispute Resolutions (ADR), etc.	Temporary. Destroy 5 years after case is closed.	DAA-0100-2018-0002		WB	
10	Contested case	Backups of master files and databases	Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	Varies by files type	DAA-0100-2018-0002	Q Drive Contested Cases – (Effective May 2017) FTL AO File Location #1 (Prior May 2017)	Electronic folders by fiscal year and alphabetically Paper Records – Alphabetically	Sibilia, Yulissa
11	FOIA		Request for records	Destroy 6 years from date		Q Drive by chronological order per Fiscal year	Electronic Folders	Scott, Patricia

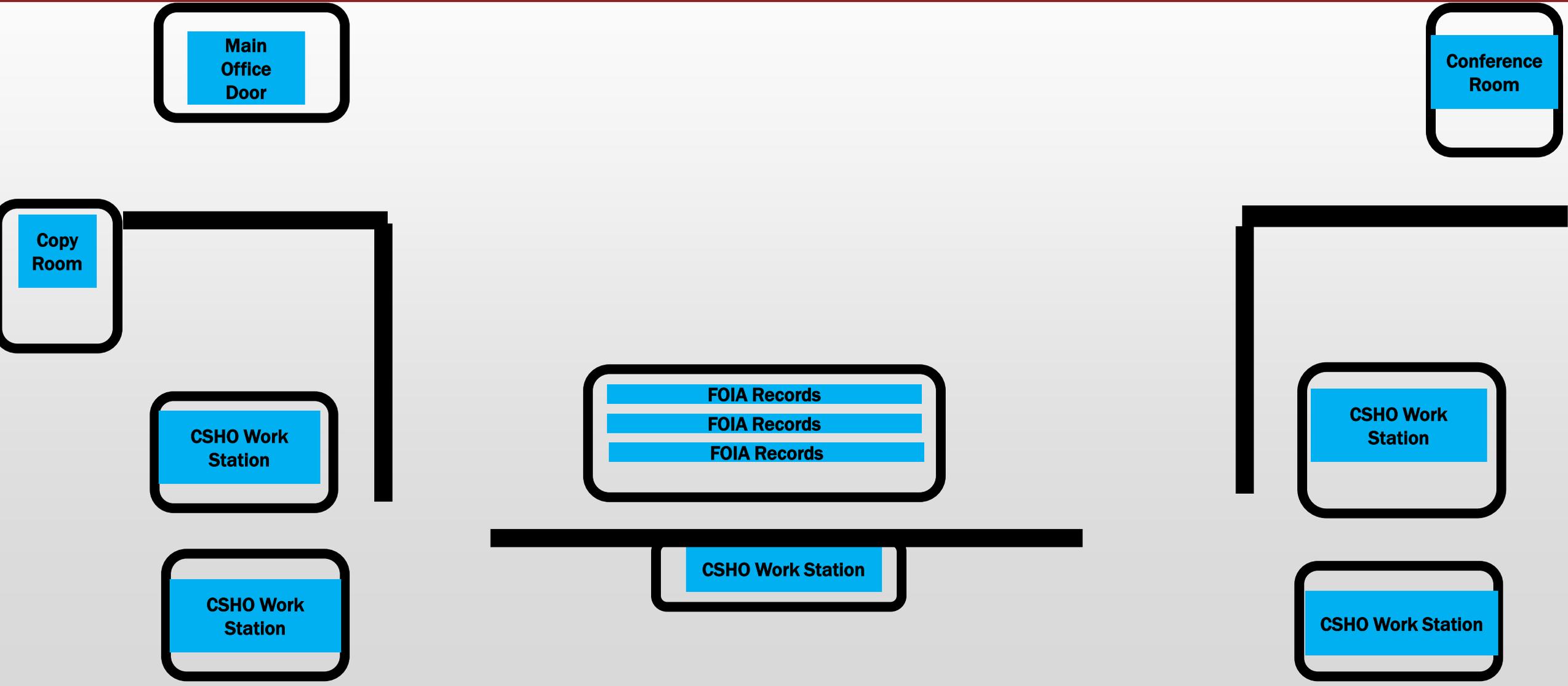
Records Keeping

Item	Records Title /Description		Disposition Instruction	Disposition Authority	Location	Format	Custodian
12	Working Folder		Temporary NTE 1 year		Stored drawer of desk cabinet locked in each supervisors office	Paper- Folders	AD Eastmond AAD Cabrera AAD Lopez AAD Torres
13	Recruiting Records		Temporary		AD drawer in credenza in AD Office		AD Eastmond
14	Training Records	Fit Testing	Temporary				AAD Cabrera, Beatriz
15	Training Records	SHMS			SHMS binder		SHMS Committee Chair
16	GOV Mileage Logs			GSA Fleet	Stored in binder bottom drawer of desk cabinet next to supply cabinet	Electronic data entered GSA Drive Thru Paper Folders	Sibilia, Yulissa
17	GOV Expense Receipts				Stored in binder bottom drawer of desk cabinet next to supply cabinet		Sibilia, Yulissa

Budget/Program Assistant

Item	Records Title Description		Disposition Instruction	Disposition Authority	Location	Format	Shelf Life	Custodian
18	FY 2019 & 2020	Financial Related Records	temporary	DAA-GRS-2013-0003-0011 & DAA-GRS-2013-0003-0004	File Cabinet located in Program Assistant's cubicle	Paper (Chronological by Month)	6 years from end of fiscal year	Judith Morales
19	FY 2013-2018	Financial Related Records	temporary	DAA-GRS-2013-0003-0011 & DAA-GRS-2013-0003-0004	File Cabinet located in Hallway next to AAD Torres cubicle	Paper (Chronological by Month)	6 years from end of fiscal year	Judith Morales
20	FY 2018 2019 - 2020	Custody Receipts for Inventory Records,	Temporary	DAA-GRS-2013-0003-0012	File Cabinet located in Hallway next to AAD Torres cubicle	Paper (Alphabetical)	3 years from end of fiscal year	Judith Morales

FTL A0 FOIA File Location



FTL A0 File Location #1

Closed UPA Cases FY20	Closed UPA Cases FY18
Closed UPA Cases FY20	Closed UPA Cases FY18
Closed UPA Cases FY17	Closed UPA Cases FY18
Closed UPA Cases FY17	Closed UPA Cases FY19
Closed UPA Cases FY17	Closed UPA Cases FY19

Open Cases		
Contested Cases		

**AAD
TORRES
OFFICE**

ARCHIVING SHIPPING RECORDS	
ARCHIVING SHIPPING RECORDS	
No Valid UPA BINDER FY20 No Valid FAT/CAT BINDER FY20	No Valid UPA Binder FY17-19 No Valid UPA Fat/Cat FY17-19

**Custody Receipts
for Property**

**Check payment
logs**

FTL A0 Closed Case File/DCAT Cabinet Records Room

Entry Door

FY20 FY20 FY20 FY20 FY20	FY20 FY20 FY20 FY20 FY20	FY20 FY20 FY20 FY20 FY20	FY20 FY20 FY20 FY20 FY20	FY17 FY17 FY17 FY17 FY17	FY17 FY17 FY17 FY17 FY17
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FY 18
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FY19 FY19 FY19 FY19 FY19	FY19 FY19 FY19 FY19 FY19	FY19 FY19 FY19 FY19 FY19
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Custody Receipts for Property

Program Assistant Work Area

Entry Door

DCAT Cabinet

DCAT Cabinet

DCAT Cabinet

Server Room