

Case File Retention/Disposition Guide

FAT/CAT HP	All Other Cases		Documents/Photos/Attachments	Who	Location in OE	Comments
YES	NO	1	Photos or videos on CDs, DVDs, thumbnail prints, etc., (each marked with company name, inspection number, and source of photo or video).	Admin-CSHO	MRC	Medical Records Cabinet
YES	YES	2	Communication Log (Case File Summary)	Admin	OE	
NO	NO	3	Confidential Information Log	CSHO	Attachments	
YES	YES	4	Informal Conference Notes Form	Supervisor	Documents	
YES	YES	5	Citation or Settlement Authorization Form	Supervisor	In OE in 167I Authorization Tab	
NO	NO	6	Certified Mail Receipt(s) and Green Card(s) or Receipt Verification(s)	Admin - Scan	Documents	These are to be part of a file copy when a "disclosure request is sent", as will be for contestments.
NO	NO	7	Medical Records Chain of Custody Form(s)	CSHO	MRC	Medical Records Cabinet
NO	NO	8	Multi-employer Inspection Medical Records Retention Request Form(s)	CSHO	Attachments	
YES	YES	9	Case File Audit	Admin	OE	
YES	YES	10	Abatements [2D(s) with detailed information; specific documentation; written programs for programmatic citations; etc.] Note: district supervisors must review abatement information to ensure appropriate documentation is retained in case file that will show hazard was abated. (Refer to FOM Chapter III Section E.4 "Verification of Abatement")	Admin /CSHO	Documents	Will route to CSHO with notification. If abatements come in an email or fax the CSHO will tiff into the Document Section.
YES	YES	11	All legal documents (contestment request, request for IC, PMA, signed copy of settlement agreement, settlement agreement cover letter, no change letter, notice of docketing, orders, final order, etc.) Note: If the employer refuses to sign the Settlement Agreement, maintain unsigned copy of Settlement Agreement in the case file.	Admin - Scan	Documents	
YES	YES	12	Correspondence received subsequent to citation issuance in the order received; and all documents should be date stamped.	Admin - Scan	Documents	This will change to yes for ALL inspections.
YES	YES	13	In Compliance Letter and Certificate (when applicable)	Admin - Scan	Documents	
YES	YES	14	Copy(ies) of issued citation(s) and 2D(s) with supervisor signature	Admin - Scan	Documents	
NO	NO	15	Draft response to complainant/referral source/NOK	CSHO	Attachments	
YES	YES	16	Inspection Report (OSHA-1)	OE	OE	
YES	YES	17	OSHA IAC (Inspection Contacts, Narrative, & Inspection Program Evaluation)	OE	OE	
YES	YES	18	Copy of response letter mailed to complainant/referral source	Admin - Scan	Documents	
YES	YES	19	Copy of all correspondence (letter, email) with NOK	Admin - Scan	Documents	
YES	YES	20	Copy of all correspondence (letter, email) with employer	Admin - Scan	Documents	
YES	YES	21	Copy of all correspondence (letter, email) with non-fatal accident victims	Admin - Scan	Documents	
YES	YES	22	Accident/Event Notification	CSHO - OE	OE	
YES	YES	23	Complaint Form	CSHO - OE	OE	
YES	YES	24	Complaint Form OSHA 7 if complainant signed	CSHO	Documents	
YES	YES	25	Referral Form	CSHO - OE	OE	
YES	YES	26	Copy of Workplace Measurement Summary Sheet	CSHO - OE	Documents	
YES	YES	27	Accident/Event Investigation Summary	CSHO - OE	OE	

YES	YES	28	OSHA-2B(s): Failure to Abate Notices; NOTE: Follow-up inspections, but the notices will be in the original inspection case file.	CSHO - OE	Documents	
YES	YES	29	Violation Summary Process	CSHO - OE	OE	
YES	YES	30	Violation Worksheet (OSHA-1B(s))	CSHO - OE	OE	
YES	YES	31	Inspection Health Sampling Report & OSHA Field Sampling Sheet(s), 91,92,93,98	CSHO - OE- One Stop Shop Forms	OE or Documents	
YES	YES	32	Calibration Worksheet(s)	CSHO - OE	Documents	
YES	YES	33	Sampling Equipment Date Printouts (Direct Reading Equipment)	CSHO - OE	Documents	
YES	NO	34	Sampling Chain of Custody Form	CSHO - OE	Documents	
YES	NO	35	Property/Evidence Form	CSHO - OE	Documents	
YES	NO	36	Receipt of Public Agency Records Form and Documents (except medical records.) NOTE: This form shall be in the file for any information (i.e., photos, police records, etc.) obtained from another agency.	CSHO - OE	Documents	
YES	NO	37	Air and Bulk Lab/Test Analysis Request Form(s) and Analysis Reports	CSHO - OE	Documents	
YES	NO	38	Sketches or Diagrams	CSHO - OE	Documents	
NO	NO	39	Copy of Original Programmed Inspection Assignment Sheet	CSHO - OE	Attachments	
YES	YES	40	Witness Statements(s)	CSHO - OE	Documents	
YES	YES	41	OSHA-59: Employee/Employer Rights and Responsibilities	CSHO - OE	Documents	
YES	NO	42	OSHA 300 Logs, 200	CSHO - OE	OE	
YES	YES	43	Secretary of State Verification Page	CSHO - OE	Documents	This will change to yes for ALL inspections.
YES	YES	44	Appendices / Other Documents (Include a Table of Contents for Appendices)	CSHO - OE	Documents	This will change to yes for ALL inspections.
YES	YES	45	Clasped envelope(s) containing Trade Secret or Confidential Documents or Evidence per E.7., E.8.a., and/or E.8.b. of this FOM Chapter XVI.	MRC		
YES	NO	46	Clasped envelope containing materials obtained by Copyright Law.	MRC		Medical Records Cabinet
NO	NO	47	Medical Records from locked cabinet (verify all associated case files are closed).	MRC		Medical Records Cabinet
NO	NO	48	OE Notes are not to be included in any inspection files. The OE Notes are for internal use only.			OE Notes are never printed out.

The Print All Worksheets is set to print in order of the case file. Never check the OSHA File Notes we (NC) do not print these out.

