

DAA-GRS-2017-00xx

Employee Health and Safety Records
(GRS 2.7)

This file contains three documents. The Draft Schedule is the proposed text of the new GRS in publication format. The Draft Appraisal Memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The Crosswalk provides additional help in schedule implementation.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

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National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
March 14, 2017

GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records (draft of 3-14-2017)

This schedule covers records about employee health and safety functions within Federal agencies.

Health and Safety Committee records are covered by GRS 5.1, item 030 Records of non-mission related internal agency committees.

Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Occupational injury and illness program records. Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations e.g. miscellaneous reports, annual summaries or reports to the Secretary of Labor, correspondence with internal agency offices, Occupational Safety and Health Administration (OSHA) OSHA Form 300, Form 301, and Form 300A or equivalent.</p> <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citation: 29 CFR Part 1904.44 and 29 CFR Part 1960 Subpart I (.68-.74) Recordkeeping and Reporting Requirements.</p> <p>Supersedes: GRS 1, item 34 (N1-GRS-87-6, item 35) 5 years</p>	<p>Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.</p>	DAA-GRS-0017-000x-0001
020	<p>Occupational health and safety training records. Records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job specific activities or which may impact individual occupational health. Items 050 and 051 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 Appendix E</p>	<p>Temporary. Destroy 5 years after training participation or when superseded, whichever is sooner, but longer retention is authorized if required for business use.</p>	DAA-GRS-0017-000x-0002

Item	Records Description	Disposition Instruction	Disposition Authority
030	<p>Environmental (workplace) monitoring and exposure records.</p> <p>Monitoring results of workplace air or measurements of toxic substances or harmful physical agents in the workplace, including personal, area, grab, wipe, or other methods of sampling results.</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	DAA-GRS-0017-000x-0003
031		<p>Follow the disposition instruction for item 050.</p>	None; filing instruction only.
032	<p>Legal citations: 5 CFR Part 293, Subpart E and 29 CFR 1910.1020. Also, specific OSHA OSH topic regulations, including Bloodborne Pathogens (1910.1030; Lead (1910.1025); HAZWOPER (1910.120); Respirable crystalline silica (1910.1053); etc.</p>	<p>Temporary. Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	DAA-GRS-0017-000x-0004
033	<p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information refer to 29 CFR 1910.1020(c)(5) – Employee exposure records.</p>	<p>Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	DAA-GRS-0017-000x-0005
034	<p>Note 2: These items are intended for those subject to Executive Order 12196, Occupational Safety and</p>	<p>Follow the disposition instruction for item 050.</p>	None; filing instruction only.

Item	Records Description		Disposition Instruction	Disposition Authority
035	<p>Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules.</p>	<p>Remaining OSHA-regulated substance records when not categorized as employee-specific exposure records.</p> <p>Legal Citation: 29 CFR Part 1910 Subpart Z and 29 CFR 1910.1200</p>	<p>Temporary. Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-0017-000x-0006</p>
036		<p>Background data. Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data.</p>	<p>Temporary. Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-0017-000x-0007</p>
040	<p>Safety Data Sheets (SDS). Includes other specified records concerning the identity of a substance or agent. These records were formerly called Material Safety Data Sheets (MSDS).</p> <p>Exclusion: Copies placed in EMFs to document substances or agents to which employees are exposed are covered under item 050 of this schedule.</p> <p>Legal citation: 29 CFR Parts 1910.1200(b)(3)(ii), (b)(4)(ii), and Parts 1910.1200(g)(8), (9), and (10).</p>		<p>Temporary. Destroy when business use ceases.</p>	<p>DAA-GRS-0017-000x-0008</p>
050	<p>Employee Medical Folders (EMFs). These records are also referred to as Occupational Safety and Health Administration (OSHA) medical records, medical surveillance records, or employee occupational medical records and include employee-specific occupational exposure records.</p> <p>Legal Citation: 5 CFR Part 293, Subpart E</p>	<p>Long-term employee occupational medical records. Records of separated employees as defined in 5 CFR Part 293, Subpart E. Includes:</p> <ul style="list-style-type: none"> • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and/or employment-related treatment/examination by medical health care professionals and technicians • employee-specific occupational exposure records. <p>Legal Citations: 5 CFR Part 293, Subpart E and 29 CFR 1910.1020</p> <p>Supersedes: GRS 1, item 21a2 (N1-GRS-86-4, item 21a2)</p>	<p>Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.</p>	<p>DAA-GRS-0017-000x-0009</p>

Item	Records Description	Disposition Instruction	Disposition Authority	
051	<p>Exclusion 1: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.</p>	<p><i>75 years; 60 years; or 30 years</i></p> <p>Temporary or short-term employee non-occupational medical records. Records of separated employees as defined in 5 CFR Part 293, Subpart E.</p>	<p>Follow the disposition instruction for item 070.</p>	<p>None; filing instruction only.</p>
052	<p>Exclusion 2: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p> <p>Exclusion 3: Contractor employee, student, and intern occupational medical records are covered by agency-specific schedules.</p> <p>Note: For transferred employees, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for instructions.</p>	<p>Individual employee health case files created prior to establishment of the EMF system in 1986.</p> <p>Supersedes: GRS 1, item 21c (N1-GRS-86-4, item 21c) <i>60 years</i></p>	<p>Temporary. Destroy 60 years after retirement to the NARA records storage facility.</p>	<p>DAA-GRS-0017-000x-0010</p>
Non-Occupational Health and Wellness Records				
060	<p>Non-occupational health and wellness program records. Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs such as nursing mothers, Automated External Defibrillators (AEDs), and tobacco cessation. Includes:</p> <ul style="list-style-type: none"> • health risk appraisals • biometric testing • health coaching • disease management • behavioral management • preventive services • fitness programs 	<p>Temporary. Destroy 3 year(s) after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.</p>	<p>DAA-GRS-0017-000x-0011</p>	

Item	Records Description	Disposition Instruction	Disposition Authority	
	<p>Exclusion: EAP Counseling records are covered under item 081.</p> <p>Supersedes: GRS 1, item 20a (NC1-64-77-10, item 20a) <i>3 months</i> GRS 1, item 20b (NC1-64-77-10, item 20b) <i>2 years</i> GRS 1, item 26b (NC1-64-77-10, item 27b) <i>3 years</i></p>			
070	<p>Individual non-occupational medical records. Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual’s medical history, physical condition, and first-aid visits for nonwork-related purposes. Also referred to as patient records in Title 5 Part 293 Subpart E.</p> <p>Exclusion: Records of treatment which results as a condition of employment or relates to an on-the-job occurrence appropriate for Employee Medical Folders (EMFs) are covered under item 050 of this schedule.</p> <p>Legal Citation: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update].</p> <p>Note: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the EMFS, under certain conditions to be discussed in subsequent OPM guidance, copies of such records are occupationally-related and, in those cases, may be included in the EMF; See item 050. (5 CFR § Part 293, Subpart E, Part 504)</p> <p>Supersedes: GRS 1, item 19 (NC1-64-77-10, item 19) <i>6 years</i> GRS 1, item 21b (N1-GRS-86-4, item 21b) <i>1 year after separation or transfer</i></p>	<p>Temporary. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.</p>	DAA-GRS-0017-000x-0012	
080	<p>Employee Assistance Program (EAP) counseling records. Records of individuals who have sought or been referred to counseling services provided through the Employee Assistance Program (EAP). May include records of family members and dependents.</p>	<p>Records related to employee performance or conduct. Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of:</p> <ul style="list-style-type: none"> • leave and attendance • performance • alleged inappropriate behavior or workplace violence • reason for referral • management interventions 	<p>Temporary. Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.</p>	DAA-GRS-0017-000x-0013

Item	Records Description		Disposition Instruction	Disposition Authority
	<ul style="list-style-type: none"> • illegal drug or alcohol use <ul style="list-style-type: none"> ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job ○ substance abuse assessment, treatment, aftercare, and monitoring records <p>Note: GRS 2.3, Employee Relations Records covers adverse action files under item 061 and performance-based action files under item 062.</p>			
081	<p>Records not related to performance or conduct. Records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:</p> <ul style="list-style-type: none"> • Privacy Act and signed written consent forms • psychosocial history and assessments • medical records • correspondence with the client • clinical and education interventions • records of attendance at treatment, kinds of treatment, and counseling programs • identity and contact information of treatment providers • name, address and phone number of treatment facilities • notes and documentation of internal EAP counselors • insurance data • intervention outcomes <p>Supersedes: GRS 1, item 26a (NC1-64-77-10, item 27a) <i>3 years</i></p>		<p>Temporary. Destroy 3 years after termination of counseling or when state-specific statute of limitations has expired for contract providers subject to state requirements.</p>	DAA-GRS-0017-000x-0014
<p>Drug-free Workplace Program Records</p>				

Item	Records Description	Disposition Instruction	Disposition Authority
090	<p>Employee drug test plans and procedures. Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468). Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.</p> <p>Exclusion 1: Documents filed in record sets of formal issuances such as directives, procedures handbooks, and operating manuals.</p> <p>Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7.</p> <p>Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.</p> <p>Note: Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 2.3, Employee Relations Records, item 061, Adverse Action Files.</p> <p>Supersedes: GRS 1, item 36a (N1-GRS-98-2, item 6) 3 years</p>	<p>Temporary. Destroy when 3 years old or when superseded or obsolete.</p>	<p>DAA-GRS-0017-000x-0015</p>
091	<p>Employee drug test acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging they have received notice and they may be tested.</p> <p>Note: Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 2.3, Employee Relations Records, item 061, Adverse Action Files.</p> <p>Supersedes: GRS 1, item 36b (N1-GRS-90-2, item 36b) <i>When separated from Testing Designated Position (TDP)</i></p>	<p>Temporary. Destroy when employee separates from testing-designated position.</p>	<p>DAA-GRS-0017-000x-0016</p>

Item	Records Description		Disposition Instruction	Disposition Authority
092	<p>Employee drug testing selection and scheduling records. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.</p> <p>Note: Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 2.3, Employee Relations Records, item 061, Adverse Action Files.</p> <p>Supersedes: GRS 1, item 36c (N1-GRS-90-2, item 36c) 3 years</p>		Temporary. Destroy when 3 years old.	DAA-GRS-0017-000x-0017
093	<p>Employee drug testing specimen records. Identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected. Includes records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen, e.g chain of custody records.</p> <p>Note: Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 2.3, Employee Relations Records, item 061, Adverse Action Files.</p> <p>Supersedes: GRS 1, item 36d1 (N1- GRS-90-2, item 36d1) 3 years GRS 1, item 36d2 (N1-GRS-90-2, item 36d2) 3 years</p>		Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-0017-000x-0018
094	<p>Employee drug test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.</p>	<p>Positive results of employees.</p> <p>Supersedes: GRS 1, item 36e1a (N1-GRS-98-1, item 36e2a) <i>When employee leaves agency or 3 years</i></p>	Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-0017-000x-0019
095	<p>Note: Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters</p>	<p>Positive results of applicants not accepted for employment.</p> <p>Supersedes: GRS 1, item 36e1b (N1-GRS- 98-1, item 36e2b) 3 years</p>	Temporary. Destroy when 3 years old.	DAA-GRS-0017-000x-0020

Item	Records Description		Disposition Instruction	Disposition Authority
096	are covered by GRS 2.3, Employee Relations Records, item 061, Adverse Action Files.	<p>Negative results.</p> <p>Supersedes: GRS 1, item 36e2 (N1-GRS-98-1, item 36e1) 3 years</p>	Temporary. Destroy when 3 years old.	DAA-GRS-0017-000x-0021



Date: March 14, 2017
Appraiser: Laura Adams McHale, ACRA
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2017-00xx-pending

DRAFT

INTRODUCTION

Schedule Overview

GRS 2.7: Employee Health and Safety Records

Additional Background Information

This schedule provides disposition authority for records related to the function of managing employee health and safety. It supersedes 17 items found throughout old GRS 1: Civilian Personnel Records.

We completely rescinded two items:

- GRS 1, item 22, Employee Health Statistics (NC1-64-77-10, item 22). The Department of Labor (DOL), Bureau of Labor Statistics (BLS) confirmed the agency reports are no longer needed by BLS to generate estimates. DOL's Occupational Safety and Health Administration (OSHA) also confirmed it did not have a need for this item.
- GRS 1, item 21a (No N1 or DAA Number), is rescinded as it was a filing instruction for the Employee Medical Folder (EMF) – Long-term records of transferred employees. This filing instruction now appears as a note for items 050-052.

We added 11 new items to this schedule:

Schedule item no. 020, Occupational health and safety training records.

Schedule item no. 030, Environmental (workplace) monitoring and exposure records.

Area/general occupational exposure records when not employee-specific exposure records.

Schedule item no. 031 (N/A Filing Instruction), Environmental (workplace) monitoring and exposure records. Employee-specific occupational exposure records.

Schedule item no. 032, Environmental (workplace) monitoring and exposure records.

Occupational noise exposure records.

Schedule item no. 033, Environmental (workplace) monitoring and exposure records. Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic exposure records when not employee-specific exposure records.

Schedule item no. 034, Environmental (workplace) monitoring and exposure records. Select carcinogen exposure records from hazardous chemical use in laboratories.

Schedule item no. 035, Environmental (workplace) monitoring and exposure records.

Remaining OSHA-regulated substance records when not categorized as employee-specific exposure records.

Schedule item no. 36, Environmental (workplace) monitoring and exposure records.

Background data.

Schedule item no. 040, Safety Data Sheets (SDS).

Schedule item no. 051, Employee Medical Folders (EMFs). Temporary or short-term employee non-occupational medical records.

Schedule item no. 080, Employee Assistance Program (EAP) counseling records. Records related to employee performance or conduct.

Eighteen agency subject matter experts from 14 organizations assisted in the development of this schedule. Agencies represented included: Bureau of Alcohol, Tobacco, Firearms and Explosives, U.S. Department of Justice; National Geospatial-Intelligence Agency, United States Agency for International Development, Federal Emergency Management Agency, Department of Homeland Security; Federal Aviation Administration, Social Security Administration, National Aeronautics and Space Administration, National Institutes of Health, US Environmental Protection Agency, National Security Agency, U.S. Secret Service, Department of Homeland Security; Federal Bureau of Investigation, U.S. Department of Justice; Defense Health Agency, Office of the Secretary of Defense, Department of Defense.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 0001 (GRS 2.7, item 010): Occupational injury and illness program records.

This item covers the on-site collection of occupational injury and illness records kept at the original work site for OSHA inspections as well as employer and employee reference purposes. Records covered under this item have not changed significantly from those covered under the previously-approved disposition authority of GRS 1, item 34, Occupational Injury and Illness Files. We updated the associated OSHA form numbers to reflect current practice.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 34 (N1-GRS-87-6, item 35) 5 years

* Has little or no research value. Records are administrative in nature. The records covered under this item are associated with day-to-day administrative and/or routine activities.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This item increases the previously-approved retention of GRS 1, item 34 Occupational Injury and Illness Files from 5 to 6 years at the request of OSHA to meet 29 CFR Part 1960.69 and 29 CFR Part 1904.44 which require agencies to save their copies for “five years following the year to which they relate and continue to provide access to the data.” Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0002 (GRS 2.7, item 020): Occupational health and safety training records.

This item provides disposition authority for training records needed by agency occupational health and safety programs.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Similar records have been approved as temporary. IRS, N1-058-08-16, Item no. 158, Environmental Training Records, have been approved for a 5 year retention period.

*Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. There is no one OSHA general industry requirement for training records or their retention. Any requirements for training records will be found in each individual regulation. In many cases, OSHA requires employers to maintain training records, but no record retention time is specified. 29 CFR Part 1910.120 requires hazardous waste program training (HAZWOPER) records be maintained for a minimum of five years after the date an individual participated. Though a 5 year retention requirement is not mandated for all types of occupational health and safety training, this specific training has a definitive recordkeeping requirement and forms the basis of the legal minimum retention for these records. As a result, we added a specific item to the GRS for occupational health and safety training records since they are more specialized than those covered under GRS 2.6. We used the HAZWOPER training requirement to form the basis of the minimum retention requirement. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0003 (GRS 2.7, item 030): Environmental (workplace) monitoring and exposure records. Area/general occupational exposure records when not employee-specific exposure records.

GRS 2.7, item 031: (No DAA Number) Environmental (workplace) monitoring and exposure records. Employee-specific occupational exposure records.

Item 0004 (GRS 2.7, item 032) Environmental (workplace) monitoring and exposure records. Occupational noise exposure records.

Item 0005 (GRS 2.7, item 033) Environmental (workplace) monitoring and exposure records. Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic exposure records when not employee-specific exposure records.

Item 0006 (GRS 2.7, item 034) Environmental (workplace) monitoring and exposure records. Select carcinogen exposure records from hazardous chemical use in laboratories.

Item 0007 (GRS 2.7, item 035) Environmental (workplace) monitoring and exposure records. Remaining OSHA-regulated substance records when not categorized as employee-specific exposure records.

Item 0008 (GRS 2.7, item 036) Environmental (workplace) monitoring and exposure records. Background data.

This group of items new to the GRS cover workplace environmental monitoring and exposure records that are not employee-specific in nature. In November 2004, the Department of Labor's Occupational Safety and Health Administration (OSHA) issued a final rule amending the basic

program elements at 29 CFR Part 1960, Subpart I, to make the Federal sector's injury and illness recordkeeping requirements identical to the private sector. The rule applied to all Federal agencies of the Executive Branch that are subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. It did not apply to military personnel and uniquely military equipment, systems, and operations. However, civilian employees working in military facilities are covered by OSHA regulations when they work on equipment, operations and systems that are not uniquely military. Therefore, many military facilities, operations, procedures and equipment are subject to OSHA standards in order to protect the health and safety of civilian employees.

Employers, in this case agencies, and employees use the monitoring records to implement safety and health programs at individual workplaces, conduct analysis of the data in order to monitor workplace safety and health, and to track progress in solving those problems. (*Frequently Asked Questions for OSHA's Injury and Illness Recordkeeping Rule for Federal Agencies*, https://www.osha.gov/dep/fap/recordkeeping_faqs.html, as viewed on 3-06-2017).

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records are kept in accordance with 5 CFR Part 293, Subpart E and 29 CFR 1910.1020 which stipulate legal minimum retention periods for these records. Since 2004, Federal agencies must meet injury and illness recordkeeping requirements essentially identical to the private sector. These items are intended for those subject to Executive Order 12196, Occupational Safety and Health Programs for Federal Employees. Entities excluded from these requirements may use these items or agency-specific schedules. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0009 (GRS 2.7, item 040): Safety Data Sheets (SDS).

This item is new to the GRS and covers the Safety Data Sheets, as the old Material Safety Data Sheets (MSDS), are now referred to under the Globally Harmonized System of Classification and Labelling of Chemicals, commonly known as GHS. SDS are prepared and distributed to users of hazardous materials by manufacturers of those materials.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Similar records have been approved as temporary. IRS Job No. N1-058-08-16, Item 166, Material Safety Data Sheets are scheduled for 30 years. TVA Job No. N1-142-98-04, Item A2, "MSDS created by TVA and created by manufacturers of hazardous materials that are maintained by OH&S (or successor organization)" are scheduled for 75 years.

*Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records under item 0009 are retained by agencies to provide instructions to staff on safe handling practices and are kept in the workplace while the materials are in use. In the

past, some agencies considered their SDS collections to be non-records. The retention period of the SDS hinges on what the agency considers an employee exposure record under 29 CFR Part 1910.1020(c)(5) and whether the information is kept by the agency in some another manner other than a SDS. 29 CFR Part 1910.1020(d)(1)(ii) requires that employee exposure records “shall be preserved and maintained for at least thirty (30) years.”

The designation of the SDS as an employee exposure record and where/how it is filed varies depending on an agency’s business needs and this is why the retention is “destroy when business use ceases.” When an agency does not measure employee exposures, as through an active medical surveillance program, an SDS collection may be considered a substitute for exposure records because it documents that the chemical was present in the workplace. Some agencies may file SDS’ in an individual’s long-term Employee Medical Folder (under item 050 of this schedule) where the SDS is used as an employee exposure record. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0010 (GRS 2.7, item 050): Employee Medical Folders (EMFs). Long-term employee occupational medical records.

GRS 2.7, item 051: (No DAA Number): Employee Medical Folders (EMFs). Temporary or short-term employee non-occupational medical records.

Item 0011: (GRS 2.7, item 052): Employee Medical Folders (EMFs). Individual employee health case files created prior to establishment of the EMF system in 1986.

The Employee Medical Folders (EMFs) are established to contain employee medical records maintained during the employee’s Federal service. These records comprise a key element of the Employee Medical File (EMF) System Records described under OPM/GOVT-10. Other records outlined in OPM/GOVT-10 are covered elsewhere in the GRS or by agency-specific schedules. While records are “owned” by the Office Personnel Management, the Department of Labor’s Occupational Health and Safety Administration shares interest in occupational medical records.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 21a2 (N1-GRS-86-4, item 21a2) *75 years; 60 years; or 30 years*

GRS 1, item 21c (N1-GRS-86-4, item 21c) *60 years*

* Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention period is being changed from that expressed in GRS 1, item 21a2, *Employee Medical Folder (EMF). Long-term medical records as defined in 5 CFR Part 293, Subpart E. Separated employees.* as:

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.

Item 0010’s new retention period has been brought into alignment with the requirement stated in 5 CFR Part 293, Subpart E that EMFs containing long-term occupational medical records be destroyed “30 years after employee separation or when the Official Personnel Folder (OPF) is

destroyed, whichever is longer.” Item 051 is now retitled and a filing instruction which points to another item because we have been unable to identify any short-term occupational medical records. Item 0011 covers a collection of federal employee medical records created prior to the establishment of the EMF system; the disposition instructions are unchanged. We have purposefully not added the flexible retention statement to items 0010 and 0011 because the records have either been or will be maintained for an extraordinarily long period of time when eligible for destruction.

Media Neutrality: Approved

Item 0012 (GRS 2.7, item 060): Non-occupational health and wellness program records.

This item covers administrative and other routine records related to operating health and wellness programs. Records may include those concerning participation by contractors, students, and interns.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 20a (NC1-64-77-10, item 20a) *3 months*

GRS 1, item 20b (NC1-64-77-10, item 20b) *2 years*

GRS 1, item 26b (NC1-64-77-10, item 27b) *3 years*

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. We have increased the retention of lists of visits to dispensaries from 3 months for summarized information to 3 years (GRS 1, item 20a). The retention period for unsummarized information has also been increased to 3 years (GRS 1, item 20b). The increase in retention of these items is in order because the records are comparable to routine administrative documents which are retained for a minimum of 3 years to ensure adequate and proper documentation of the transactions of the federal government. The retention remains unchanged for program records for planning, coordinating, and directing an alcohol and drug abuse program (GRS 1, item 26b). Agencies may keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0013 (GRS 2.7, item 070): Individual non-occupational medical records.

This item covers medical records that are non-work related. Includes records of employees, contractors, and interns.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 19 (NC1-64-77-10, item 19) *6 years*

GRS 1, item 21b (N1-GRS-86-4, item 21b) *1 year after separation or transfer*

*Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. This item increases the retention of records covered by GRS 1, item 19, Individual Non-Occupational Health Record Files from 6 to 10 years after latest encounter. A minimum retention period of 10 years is recommended for medical records by the American

Health Information Management Association (AHIMA), *Recommended Retention Standards* [Appendix D from the 2011 update]. Agencies are authorized to keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0014 (GRS 2.7, item 080): Employee Assistance Program (EAP) counseling records.

Records related to employee performance or conduct.

Item 0015 (GRS 2.7, item 081): Employee Assistance Program (EAP) counseling records.

Records not related to performance or conduct.

These items cover counseling records. Includes records of employees, contractors, interns, and in some cases, records of dependents. Item 0014 is new and provides disposition authority for counseling records associated with employee performance or conduct. Should the counseling or situation lead to an adverse or performance-based action, the records would not be covered under this item, but rather under items contained in GRS 2.3, Employee Relations Records.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 26a (NC1-64-77-10, item 27a) *3 years*

* Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Records kept under item 0014 should not be kept after the conclusion of an adverse or performance-based action. Item 0015 retains the same retention period of 3 years approved under GRS 1, item 26a, Personnel Counseling Records and adds an inferred cutoff instruction warning agencies of a potential for state-specific statute of limitations concerns for contract providers subject to state requirements. The retention period of the counseling records is less than the 7 year recommendation for counseling records of adults established by the American Psychological Association because there may be records of dependents filed under this category. Agencies may keep records longer if they have a business need to do so.

Media Neutrality: Approved

Item 0016 (GRS 2.7, item 090): Employee drug test plans and procedures.

Item 0017 (GRS 2.7, item 091): Employee drug test acknowledgment of notice forms.

Item 0018 (GRS 2.7, item 092): Employee drug testing selection and scheduling records.

Item 0019 (GRS 2.7, item 093): Employee drug testing specimen records.

Item 0020 (GRS 2.7, item 094): Employee drug test results. Positive results of employees.

Item 0021 (GRS 2.7, item 095): Employee drug test results. Positive results of applicants not accepted for employment.

Item 0022 (GRS 2.7, item 096): Employee drug test results. Negative results.

This group of items cover routine operational records created and maintained through the Employee Drug-Free Workplace Program.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Previously approved as temporary.

GRS 1, item 36a (N1-GRS-98-2, item 6) *3 years*

GRS 1, item 36b (N1-GRS-90-2, item 36b) *When separated from Testing Designated Position (TDP)*

GRS 1, item 36c (N1-GRS-90-2, item 36c) *3 years*

GRS 1, item 36d1 (N1-GRS-90-2, item 36d1) *3 years*

GRS 1, item 36d2 (N1-GRS-90-2, item 36d2) *3 years*

GRS 1, item 36e1a (N1-GRS-98-1, item 36e2a) *When employee leaves agency or 3 years*

GRS 1, item 36e1b (N1-GRS-98-1, item 36e2b) *3 years*

GRS 1, item 36e2 (N1-GRS-98-1, item 36e1) *3 years*

* Has little or no research value. Records are administrative in nature.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention periods of these items are unchanged from the items they supersede (noted above).

Media Neutrality: Approved



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Appraiser

DRAFT

New GRS 2.7				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
2.7	010	6 years	DAA-GRS-0017-000x-0001	1	34	5 years	N1-GRS-87-6, item 35
2.7	020	5 years	DAA-GRS-0017-000x-0002			New item	
2.7	030	30 years	DAA-GRS-0017-000x-0003			New item	
2.7	031	N/A Filing instruction				New item	
2.7	032	2 years	DAA-GRS-0017-000x-0004			New item	
2.7	033	40 years	DAA-GRS-0017-000x-0005			New item	
2.7	034	N/A Filing instruction				New item	
2.7	035	30 years	DAA-GRS-0017-000x-0006			New item	
2.7	036	1 year	DAA-GRS-0017-000x-0007			New item	
2.7	040	When business use ceases	DAA-GRS-0017-000x-0008			New item	
2.7	050	30 years or with OPF	DAA-GRS-0017-000x-0009	1	21a2	75 years; 60 years; or 30 years	N1-GRS-86-4, item 21a2
2.7	051	N/A Filing instruction		1	21b	1 year after separation or transfer	N1-GRS-86-4, item 21b
2.7	052	60 years	ODAA-GRS-0017-000x-0010	1	21c	60 years	N1-GRS-86-4, item 21c
2.7	060	3 years	DAA-GRS-0017-000x-0011	1	20a	3 months	NC1-64-77-10, item 20a
				1	20b	2 years	NC1-64-77-10, item 20b
				1	26b	3 years	NC1-64-77-10, item 27b
2.7	070	10 years	DAA-GRS-0017-000x-0012	1	19	6 years	NC1-64-77-10, item 19
2.7	080	When condition's met	DAA-GRS-0017-000x-0013			New item	
2.7	081	3 years	DAA-GRS-0017-000x-0014	1	26a	3 years	NC1-64-77-10, item 27a
2.7	090	3 years	DAA-GRS-0017-000x-0015	1	36a	3 years	N1-GRS-98-2, item 6
2.7	091	When separated from TDP position	DAA-GRS-0017-000x-0016	1	36b	When separated from TDP position	N1-GRS-90-2, item 36b
2.7	092	3 years	DAA-GRS-0017-000x-0017	1	36c	3 years	N1-GRS-90-2, item 36c
2.7	093	3 years	DAA-GRS-0017-000x-0018	1	36d1	3 years	N1-GRS-90-2, item 36d1
				1	36d2	3 years	N1-GRS-90-2, item 36d2
2.7	094	When employee leaves agency or 3 years	DAA-GRS-0017-000x-0019	1	36e1a	When employee leaves agency or 3 years	N1-GRS-98-1, item 36e2a
2.7	095	3 years	DAA-GRS-0017-000x-0020	1	36e1b	3 years	N1-GRS-98-1, item 36e2b
2.7	096	3 years	DAA-GRS-0017-000x-0021	1	36e2	3 years	N1-GRS-98-1, item 36e1