GRS 2.7 Employee Health and Safety Records

This file contains two documents. The Draft Schedule contains 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 SCHEDULE IS NOT APPROVED FOR USE.

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
March 22, 2021

GENERAL RECORDS SCHEDULE 2.7: Employee Health and Safety Records

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

Conditions and Exclusions

The following conditions and exclusions apply to all disposition authorities in this schedule.

1. Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.
2. This schedule does not apply to health records of military personnel. Such records are covered by agency-specific schedules.
3. This schedule does not apply to mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health. Such records are covered by agency-specific schedules.
4. The terms "non-occupational" and "patient" are used in this schedule to refer to nonwork-required health services and to health conditions not causally-connected to the employee's work or workplace. The terms "workplace" and "safety" refer to occupational records.

Item	Records Description	Disposition Instruction	Disposition Authority
010	**Clinic scheduling records.** Scheduling records of clinic visits, both occupational and non-occupational. Includes: ● patient's name, time of appointment, and type of work to be performed ● details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit ● notifications about appointment updates ● patient visit and other scheduling-related statistics	**Temporary.** Destroy when business use ceases.	DAA-GRS-2020-XXXX-0001 **Revised Item**
Occupational Health Records			
020	**Occupational injury and illness program records.** Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes: ● miscellaneous reports, annual summaries or reports to the Secretary of Labor ● correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA) ● OSHA 300 Log ● OSHA 301 Incident Report ● OSHA 300A Summary or equivalent **Exclusion:** Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.	**Temporary**. Destroy when 6 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0002 **No change.**

	Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.		
021	**Health and Safety Committee, working groups, and member records.** Records of health and safety committees and working groups, where health and safety is not the primary agency mission, that take actions such as developing workplace safety plans, conducting assessments of safety protocols for physical space and masking, and implementing infection controls. Also included are agency copies of interagency committee/task force member records documenting the agency's participation and administration, operation, and decisions of the committee/task force. Records include: • meeting minutes, summaries, agendas, and transcripts • best practice and standards documents • reports and studies • membership records • correspondence **Exclusion 1:** Records of Federal Advisory Committee Act committees. GRS 6.2 covers Federal Advisory Committee Act committee records. **Exclusion 2:** Records documenting an interagency committee/task force's establishment, organization, policy, membership, meetings, findings, recommendations, and accomplishments maintained by the designated lead agency. The designated lead agency must schedule these records under an agency-specific schedule. **Exclusion 3:** This item does not include lnteragency Security Committee member records. GRS 5.6 covers lnteragency Security Committee member records. Department of Homeland Security (DHS) covers Interagency Security Committee records under an agency-specific schedule. **Note:** Records of mission-related committees are potentially permanent and agencies must schedule them by an agency-specific schedule.	**Temporary.** Destroy when 10 years old. Longer retention is authorized if required for business use.	DAA-GRS-2020-XXXX-0002 **New Item**
022	**Hazard assessment records.** Records documenting hazard analyses conducted to identify and eliminate workplace safety and health hazards. Also includes records documenting job-specific hazard analyses (JHA), also referred to as a job hazard breakdown or job safety analysis. Includes: ● safety analysis worksheets ● information about new equipment and work processes ● copies of accident and incident records used to evaluate work processes and make changes	**Temporary.** Destroy when business use ceases.	DAA-GRS-2020-XXXX-0003 **New Item**

	● documentation of corrective actions taken or controls implemented, including recommendations for interim control measures, personal protective equipment (PPE) and other protective measures ● certification of JHA performance			
030	**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 procedures. **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. **Exclusion 2:** Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these. **Legal Citation:** 29 CFR Part 1910.120 App E(9)		**Temporary.** Destroy 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.	DAA-GRS-2017-0010-0003 **No change**
040	**Workplace environmental monitoring and exposure records.** Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. **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	**OSHA-regulated substance monitoring and exposure records.** Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan. **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citations:** 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii)	**Temporary.** Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0004 **No change**
041		**Occupational noise monitoring and exposure records.** **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citation:** 29 CFR Part 1910.95(m)(3)(i)	**Temporary.** Destroy no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0005 **No change**

042	required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii). **Note 2:** These items are intended for agencies 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.	**Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.** **Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060. **Legal Citation:** 29 CFR Part 1910.1045 App A(vi)(C)	**Temporary.** Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0006 **No change**
043		**Background data.** Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data. **Note:** Use of this item requires that the agency retains the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, for at least thirty (30) years. **Legal Citation:** 29 CFR Part 1910.1020(d)(1)(ii)(A)	**Temporary.** Destroy no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0007\ **No change**
050	**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). **Exclusion:** Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed are covered under item 060 of this schedule. **Note:** Based on OSHA requirements in 29 CFR 1910.1020 under paragraph (d)(1)(ii)(B), employers may discard safety data sheets if "some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years." Then, an employer may discard the original data sheet and retain only the new data sheet if a record on the original formulation is maintained. **Legal citation:** 29 CFR Part 1910.1020(d)(1)(ii)(B)		**Temporary.** Destroy when business use ceases.	DAA-GRS-2017-0010-0008 **No change**
060	**Occupational individual medical case files.** These records are also referred to as Employee Medical Folders (EMFs),	**Long-term records.**	**Temporary**. Destroy 30 years after employee	DAA-GRS-2017-0010-0009

	Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes: • personal and occupational health histories • opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians • employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise) • employee audiometric testing records **Note:** For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy. **Exclusion:** Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.	**Exclusion**: Individual non-occupational medical records are covered by item 070. **Note 1:** While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR 293.504) **Note 2:** For transferred employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions. **Note 3:** For separated employees subject to OPM's requirements, see 5 CFR Part 293, Subpart E, Employee Medical File System Records, for implementing instructions. **Legal Citations:** 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).	separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.	**No change**
061		**Short-term records.**	**Temporary.** Destroy 1 year after employee separation or transfer.	DAA-GRS-2017-0010-0010 **No change**
062		**Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.**	**Temporary.** Destroy 60 years after retirement to the NARA records storage facility.	DAA-GRS-2017-0010-0011 **No change**
063	**Medical evaluation program records.** Records created and maintained to manage and coordinate an agency's medical evaluation program which provides periodic medical examinations, medical surveillance, or immunization programs. Files may also include program records documenting operation, use, and composition of medical review boards.		**Temporary.** Delete when 7 years old, but longer retention is authorized if	DAA-GRS-2020-XXXX-0004

	Exclusion 1: Final case-specific medical determinations are covered by items 060 and 061 of this schedule. **Exclusion 2:** Policy records of the medical evaluation program. Agencies must schedule these records on agency-specific schedules.	required for business use.	**New Item**
064	**Medical qualification and eligibility determination records.** Case files that document medical qualification determinations and recommendations made in accordance with the provisions of 5 CFR Part 339.205. Includes pre-employment medical screening records, health surveillance and screening records to ensure occupational exposure thresholds are not exceeded; and final determinations as to whether or not or to what degree a federal employee can receive special benefits or considerations from the federal government. Activities include, but are not limited to, review or performance of Fitness for Duty evaluations, Family and Medical Leave Act (FMLA)/Advanced Sick Leave approval reviews, and return to work and reasonable accommodation evaluations. Includes: ● psychological, personal, and occupational health histories ● medical information received from private physician or practitioners ● correspondence between practitioners ● results of any previous medical treatments or evaluations related to the identified medical issue ● diagnostic test results ● opinions and written evaluations generated in the course of examination by medical health care professionals and technicians **Exclusion 1:** Health records of military personnel. Such records must be scheduled on agency-specific schedules. **Exclusion 2:** Applicant drug test results. These records are part of the job vacancy case files covered by GRS 2.1, item 050, and item 051. These records are added to an individual's occupational medical case file when the applicant enters on duty. **Exclusion 3:** Medical records filed under item 060 of this schedule. Prescreening medical records are added to an individual's occupational medical case file when the applicant enters on duty. **Exclusion 4:** Records of agency-specific medical screening programs, such as the Former Worker Medical Screening Program (FWP) available to former Department of Energy (DOE) employees. These records must be	**Temporary.** Destroy immediately after final determination has been issued. This disposition instruction is mandatory; deviations are not allowed.	DAA-GRS-2020-XXXX-0005 **New Item**

	scheduled on agency-specific schedules. **Note 1:** Medical examination payment records are covered by GRS 1.1, item 010, and item 011. **Note 2:** Individual employee files containing records of requests and final decisions about reasonable accommodation are kept as case files covered by GRS 2.3, item 020. Item 064 of this schedule applies to medical evaluations conducted or reviewed by the agency as part of the medical qualification and determination process.			
Workplace Health Assessments				
065	**Health symptom screening records.** Records which document health symptom screening of individuals' entering and while within Government-owned or -leased facilities, properties, or other areas under organizational control. Records include but are not limited to: ● questionnaires, registers, logs, or tracking databases which identify names, dates, locations visited, seating locations, including workplace close contacts records, not related to possible or positive exposures ● local contact information of visitors', such as non-work email addresses and telephone numbers ● recorded temperature readings when not taken by a medical professional ● data provided by individuals on departure which supplement lists of locations visited within facility or any close contacts occurring during the visit **Exclusion 1:** Recorded temperature readings taken by a medical professional of individuals who have occupational medical case files are filed under item 060 of this schedule. **Exclusion 2:** Routine records documenting individuals' facility entry are covered by GRS 5.6, item 090. **Exclusion 3:** Visitor records are covered by GRS 5.6, item 110 and item 111.	**Records documenting reported exposures.**	Destroy in accordance with disposal instructions for Workplace health investigations and exposure notification case files.	
066		**All other records.**	**Temporary.** Destroy no sooner than 1 day and no longer than 30 days after entry, but longer retention is authorized if required for business use.	DAA-GRS-2020-XXXX-0006 **New Item**

DRAFT

067	**Workplace health investigations and exposure notification case files.** Case files created and maintained for safety and health investigations involving communicable infectious disease outbreaks occurring in the workplace. Includes: ● workplace close contacts records related to possible or positive exposures ● exposure notifications, such as: ○ employee notifications of Illness-Exposure to supervisor/designated contact and vice versa ○ self-reported visitor notifications of illness-exposure to facility contacts and vice versa ○ correspondence related to providing exposed individuals' contact information to state and local health departments or ministries of health in the countries where the individuals live for the purpose of contact tracing **Exclusion:** Health records of military personnel. These records must be scheduled on agency-specific schedules. **Note 1:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060 of this schedule. Includes records, such as temperature readings, taken by medical professionals to conduct health assessments. **Note 2:** Routine records documenting individuals' facility entry are covered by GRS 5.6, item 090. Visitor records are covered by GRS 5.6, item 110 and item 111. **Note 3:** Reporting of summaries and statistics, including trackers and dashboards, are covered by item 020 of this schedule. Mandatory reports to external Federal entities regarding administrative matters are covered by GRS 5.7, item 050.	**Temporary.** Destroy after exposure notification has been made or no later than 1 year old, but longer retention is authorized if required for business use.	DAA-GRS-2020-XXXX-0007 **New Item**
Non-Occupational Health Records			
070	**Non-occupational individual medical case files.** Records of treatment or examination created and maintained by a health care facility or dispensary documenting an individual's medical history, physical condition, vaccinations, and first-aid visits for nonwork-related purposes. Also referred to as "patient records" in Title 5 Part 293 Subpart E. **Legal Citations:** AHIMA. "Retention and Destruction of Health Information." (Updated October 2013) and 31 U.S.C. 3731(b), False Claims Act.	**Temporary**. Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0012 **No change**
080	**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	**Temporary**. Destroy 3 years after the project/activity/ or	DAA-GRS-2017-0010-0013

	non-occupational worksite health and wellness programs, such as nursing mothers, Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes: ● health risk appraisals ● biometric testing ● health coaching ● disease management ● behavioral management ● preventive services ● fitness programs		transaction is completed or superseded, but longer retention is authorized if needed for business use.	**No change**
090	**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.	**Records related to employee performance or conduct.** Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of: ● leave and attendance ● performance ● alleged inappropriate behavior or workplace violence ● reason for referral ● management interventions ● illegal drug or alcohol use ○ test results for use of illegal drugs ○ test results for alcohol consumption on the job ○ substance abuse assessment, treatment, aftercare, and monitoring records **Note:** GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.	**Temporary.** Destroy once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.	DAA-GRS-2017-0010-0014 **No change**
091		**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: ● Privacy Act and signed written consent forms ● psychosocial history and assessments ● medical records ● correspondence with the client ● clinical and education interventions	**Temporary.** Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract	DAA-GRS-2017-0010-0015 **No change**

		• 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	providers subject to state requirements, but longer retention is authorized if needed for business use.	
Drug-free Workplace Program Records				
100	**Employee drug test plans, procedures, and scheduling records.** Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes: • agency copies of plans and procedures, with related drafts, correspondence, and memoranda • lists of selectees • notification letters • testing schedules **Exclusion 1:** Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules. **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, Agency Accountability Records. **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. Schedule these on agency-specific schedules.	**Temporary.** Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016 **No change**
110	**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.	**Temporary.** Destroy when employee separates from testing-designated position.	DAA-GRS-2017-0010-0017 **No change**
120	**Employee drug testing specimen records.**	**Temporary.** Destroy 3 years after date of last entry or when 3	DAA-GRS-2017-0010-0018

	Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, *e.g.*, chain-of-custody records.		years old, whichever is later.	**No change**
130	**Employee drug test results.** Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. **Exclusion:** Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.	**Positive results.**	**Temporary.** Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019 **No change**
131		**Negative results.**	**Temporary.** Destroy when 3 years old.	DAA-GRS-2017-0010-0020 **No change**

DRAFT

Date: March 19, 2021
Appraiser: Laura Adams McHale, ACR
Agency: General Records Schedules (GRS) **DRAFT**
Subject: DAA-GRS-2021-00XX

INTRODUCTION

Schedule Subject
Additions to GRS 2.7 Employee Health and Safety Records

Additional Background Information
This update to General Records Schedule 2.7, Employee Health and Safety Records provides disposition authority for common, administrative records created and maintained by agencies' government-wide in response to the COVID-19 pandemic. It includes 5 new schedule items and 1 revised item.

Overall Recommendation
Approval of the attached schedule is recommended based on NARA Directive 1441 Appraisal Policy of the National Archives and Records Administration.

APPRAISAL

Item 0001 (GRS 2.7, item 010): Clinic scheduling records.
The following revision was made to this item:

- Revised the disposition authority to provide greater flexibility in retention of the records. Changed from 'Destroy when 3 years old, but longer retention is authorized if needed for business use' to 'Destroy when business use ceases.'

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:
*****Previously approved as temporary. Clinic scheduling records, DAA-GRS-2017-0010-0001, (GRS 2.7, item 010). There is no significant change to the coverage of this item, therefore the value of the records has not changed.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. DAA-GRS-2017-0010-0001 increased the retention period of lists of visits to dispensaries (30 days) and unsummarized statistical information about health clinic visits (2 years) to a unified retention period of 3 years. This revised item recognizes the facilitative value of appointment records' and allows agencies to shorten the retention period and/or keep records longer if they have a business need to do so.
Media Neutrality: Approved.

Item 0002 (GRS 2.7, item 021): Health and Safety Committee, working groups, and member records.

These are agency records which document the actions of agency health and safety committees, working groups, and interagency committees/task forces where the agency participates as a member and the agency's primary mission is not health and safety. This is a new item due to the E.O. 13991 of Jan 20, 2021 establishment of the Safer Federal Workforce Task Force (Sec. 4).

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* The records do not meet the appraisal criteria for permanent preservation. These are administrative records related to agency occupational injury and illness program records already scheduled as temporary under DAA-GRS-2017-0010-0002 (GRS 2.7, item 020). More complete records reflecting final decisions and documenting actions are documented in agency-specific schedules of senior officials, such as Email of Capstone officials GRS 6.1, item 010 (DAA-GRS-2014-0001-0001), and in agency-specific schedules of designated lead agencies of interagency committees and task forces organized to respond to workplace health and safety reasons.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. The retention is based on the 10-year retention period of a related series of records, lnteragency Security Committee member records, covered by DAA-GRS-2017-0006-0009 (GRS 5.6, item 070). A 10-year retention period for building-specific records is recommended by the Interagency Security Committee (ISC), chaired by the Department of Homeland Security, which consists of 58 Federal departments and agencies with the mission to develop security standards and best practices for nonmilitary Federal facilities in the United States. (D.6 Record Keeping, *Risk Management Process: An Interagency Security Committee Standard (Standard)*, 2nd Edition 2016). Agencies may retain these records for as long as needed to support business use.

Media Neutrality: Approved.

Item 0003 (GRS 2.7, item 063): Medical evaluation program records.

These are program management, operational, and administrative records created and maintained to operate agency medical evaluation programs designed to safeguard the health of employees whose work may subject them or others to significant health or safety risks due to occupational or environmental exposure or demands.

Also included under this item are records documenting the operation, use, and composition of agency medical review boards which help agencies' provide a case-by-case, fact-based, individualized assessment whenever an individual is found to not meet agency medical standards or physical requirements. An agency may also use a medical review board as a forum for a higher level of review within the agency when medical questions or issues arise.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* The records do not meet the appraisal criteria for permanent preservation. These are program management, operational, and administrative records related to making

DRAFT

decisions about medical qualification determinations for positions and whether or not persons are eligible to receive certain benefits. The records concern decisions of an administrative nature about individuals' ability to hold certain positions and/or to receive certain benefits.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Medical evaluation programs are governed by the requirements of 5 CFR 339.205, Medical evaluation programs. Medical review boards may be utilized by agencies to serve as a higher level of administrative review (5 CFR Part 339.204). A 7-year retention period is sufficient for these records to ensure adequate and proper documentation of programmatic records of the federal government. Policy records of the medical evaluation program are excluded from this item. Agencies may retain these records for as long as needed to support business use.

Media Neutrality: Approved.

Item 0004 (GRS 2.7, item 064): Medical qualification and eligibility determination records.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* The records do not meet the appraisal criteria for permanent preservation. These are administrative records related to temporary records. The records relate to the function of determining medical qualifications of persons and whether or not persons are eligible to receive certain benefits based on medical evidence. The related temporary records are program management, operational, and administrative records created and maintained to operate agency medical evaluation programs covered by item 063 of this schedule.
* Similar records have been approved as temporary. OPM review of government-wide files of eligibles rejected for medical reasons, NC1-146-85-5, item 1, are destroyed when 3 years old. These case files document Office of Personnel Management's (OPMs) routine oversight of agencies' rejections of job applicants for medical reasons.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Agencies destroy the medical evidence as soon as it has issued the final determination to reduce the risk of a potential breach or inadvertent disclosure. Longer retention is not authorized.

Media Neutrality: Approved.

Item 0005 (GRS 2.7, item 066): Workplace health assessments. Health symptom screening records. All other records.

Agencies create these records when they screen entrants' and persons within locations under agency control for communicable disease symptoms. Entrants are employees and any visitors whether they have a Department of Homeland Security-issued or temporary identification badge. These records supplement routine records documenting individuals' facility entry covered by GRS 5.6, item 090, Facility security management operations records and visitor records covered by GRS 5.6, Visitor Processing Records, item 110, Areas Requiring Highest Level Security Awareness and item 111, All other facility security areas.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

DRAFT

* The records do not meet the appraisal criteria for permanent preservation. These are administrative records collected during health screening processes where it has been found there has been no health exposures.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. A small subset of the health symptom screening records (where exposure notifications are reported, by any means including by technology wearable, self-report, and/or public health agency notification to the agency about a suspected or positive test result) are used to trigger workplace health investigations and to support agency reporting to local public health authorities responsible for contact tracing. This subset of reported exposure records are covered by item 067 of this schedule. Records unnecessary for exposure notification should be maintained for at least 1 day and no longer than 30 days after entry. Retention is based in part on expected duration of communicable infectious state. Agencies may retain these records for as long as needed to support business use.

Media Neutrality: Approved.

Item 0006 (GRS 2.7, item 067): Workplace health assessments. Workplace health investigations and exposure notification case files.

Agencies create these case files as a result of a workplace communicable disease report whether the case is possible, potential, or positive in nature. Case files include exposure notification records created and captured in order for agencies to notify affected individuals, alert public health authorities for the purposes of contact tracing, and to identify locations and equipment for cleaning.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* The records do not meet the appraisal criteria for permanent preservation. Records are used to notify individuals' of potential communicable disease exposure. They do not document enduring rights of citizens, decisions of federal officials, or the national experience.

* Captured elsewhere in permanent records. Long-Term Ongoing Studies That Contain Cumulative Research Data, Precedent-Setting Scientific and Research Project Records, item 1a, N1-442-09-1 and Substantive Permanent Records, Final Reports and CDC Funded Manuscripts from Research Projects, items 1.a. and 1c., N1-442-02-002. The National Institute for Occupational Safety and Health (NIOSH), The Centers for Disease Control and Prevention, Department of Health and Human Services conducts Mortality and Morbidity Studies which are retrospective studies looking for the causes of current illnesses, such as liver disease or kidney failure caused by exposure in the workplace. Non Mortality and Non Morbidity Studies occur when employees ask NIOSH to examine a current condition in a workplace. These studies are usually plant, machinery or engineering related. Significant Epidemiologic Information Systems (Scientific Data Bases), item 1, N1-442-91-12. National Notifiable Diseases Surveillance System which weekly collects data on certain diseases for publication in the CDC's Morbidity and Mortality Weekly Report (MMWR) which is distributed throughout the nation to health professionals.

* Similar records have been approved as temporary. Passenger Manifest Records, item 1, Nl-442-08-1 are destroyed 1 year after investigation is no longer active.

DRAFT

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. A subset of the health symptom screening records (where potential exposures are identified or reported, by any means including by technology wearable, self-report, and/or public health agency notification to the agency about a suspected or positive test result) trigger workplace health investigations and support agency reporting to local public health authorities responsible for contact tracing. Records are retained until exposure notification is made. Retention is consistent with that of similar records used for contact tracing by the Department of Health and Human Services, Centers for Disease Control and Protection which has statutory authority under Sections 311 and 361-368 of the Public Health Service Act to prevent the introduction, transmission and spread of communicable diseases from persons arriving into the United States from foreign countries or engaged in interstate or international movement. Agencies may retain these records for as long as needed to support business use.
Media Neutrality: Approved.

Laura Adams McHale
Appraiser

Supervisor Concurrence: PENDING FINAL MEMO

DRAFT