

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

---

## General Information

Agency or Establishment	Department of Energy
Record/Scheduling Group	0434 - General Records of the Department of Energy
Records Schedule Applies To	Agency-wide
Schedule Subject	DEPARTMENT OF ENERGY - Records Disposition Schedule: DOE 2.7 - Employee Health and Safety Records
Additional Schedule Information	Records documenting employee health and safety functions, including non-occupational health records, medical records, health unit records, radiation exposure, and hazardous concentrations of toxic chemical exposure.  NOTE: Refer to GRS 2.7 for all other Employee Health and Safety records not addressed in this schedule.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

---

## Item Count

Total number of disposition items: 7

Number of Temporary disposition items: 7

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

---

Outline of Records Schedule Items for DAA-0434-2020-0015

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Individual Medical Case File (Federal and Contractor)	Temporary
0002	Deteriorating X-rays	Temporary
0003	Individual Employee X-rays	Temporary
0004	Individual Employee Occupational Injury/Illness Case File	Temporary
0005	Personnel Radiation Exposure Film Badge Records (LEGACY ONLY)	Temporary
0006	Individual Employee Health Hazard Case File (Employee Exposure Records)	Temporary
0007	Radiation, Industrial Hygiene and Bioassay Summaries and Investigations	Temporary

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Records Schedule Items

DAA-0434-2020-0015-0001		STATUS: Active
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Individual Medical Case File (Federal and Contractor)	
Item Description	<p>All occupational and/or non-occupational health records (see note 3), including those generated by an on-site OR outside health unit when performing medical services on behalf of the government under contract services.</p> <p>These records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• forms, correspondence, and other records relating to an employee’s medical history</li> <li>• occupational injuries or illness</li> <li>• physical examinations</li> <li>• work related / non-occupational visits and all treatment received in the health unit</li> <li>• pre-placement physical examinations and disability retirement and fitness for duty examinations</li> <li>• medical and diagnostic laboratory records, including, but not limited to x-ray (digital) and x-ray interpretations/reports</li> <li>• records that contain date of employee’s visit, diagnosis, and treatment</li> <li>• includes records of exposure to chemical, physical, biological, safety workplace hazards and radiation</li> </ul> <p>Note 1: These include individual employee Health Case Files (Federal) created prior to establishment of the EMF system that have been retired to a NARA records storage facility.</p> <p>Note 2: GRS 2.7, items 060, 061, 062 and 070, authorizes use of longer retention, as these records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.</p> <p>Note 3: If non-occupational are maintained separately from occupational health records, utilize GRS 2.7, item 070, for non-occupational health records.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

<b>MANUAL CITATION</b>		
Agency Code	DOE 2.7, item 020	
Manual Title	Individual Medical Case File (Federal and Contractor)	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-89-001 / 4/A	No	
N1-434-98-001 / 12/A (in part)	Yes	N1-434-98-001 / 12/A (in part) Applies only to exposure records.
N1-434-98-001 / 12/B (in part)	Yes	N1-434-98-001 / 12/B (in part) Applies only to OMP Exposure History.
N1-434-98-004 / 19	No	
N1-434-98-004 / 21/A/1	No	
N1-434-98-004 / 21/B	No	
N1-434-98-004 / 21/1/1/B	No	
Is this item a deviation from the GRS?	Yes	
GRS disposition authority	Item UUID	Item ID
		DAA-GRS-2017-0010-0009
		DAA-GRS-2017-0010-0010
		DAA-GRS-2017-0010-0011
Justification for GRS Deviation	Because the agency wishes to retain the records longer than specified by the GRS as the case files include health records relating to radiation exposure and exposure to hazardous substances.	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Other: Destroy 250 years after employee separation or transfer.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

<b>DAA-0434-2020-0015-0002</b>	<b>STATUS: Active</b>
--------------------------------	-----------------------

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

ITEM GENERAL INFORMATION	
Item Title	Deteriorating X-rays
Item Description	X-rays that have deteriorated and become unidentifiable due to advanced states of decomposition that can neither be interpreted nor copied and may be hazardous to human health.  Note: Requires notification to NARA, by the Department Records Officer (DRO) in accordance with 36 CFR 1229.10.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	DOE 2.7, item 030
Manual Title	Deteriorating Medical X-rays
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded    Explanation in Part?
N1-434-01-001 / 1	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Retention Period	Other: Destroy immediately upon proper notification.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2020-0015-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Individual Employee X-rays
Item Description	Film x-rays maintained separate from the Individual Medical Case File AND where the interpretation/report is documented and filed in the Individual Medical Case File (see DOE 2.7, item 020).
Is this item media neutral?	Yes
Is this item a Big Bucket?	No

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

<b>MANUAL CITATION</b>	
Agency Code	DOE 2.7, item 040
Manual Title	Individual Employee Medical X-rays
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy 10 years after employee separation or transfer.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0434-2020-0015-0004	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Individual Employee Occupational Injury/Illness Case File

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Item Description	<p>Personal injury or illness case files, regardless if recordable or if worker’s compensation claims was filed. Records can include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• DOE forms and reporting systems,</li> <li>• OSHA forms/reports (also maintained in Occupational Injury and illness program records, DOE 2.7, item 100)</li> <li>• forms/reports related to accident, injuries, illnesses, etc. that occur during DOE Operations</li> <li>• correspondence</li> </ul> <p>Exclusion 1: Workers’ Compensation (personnel injury compensation) records are covered under item 100 of DOE 2.4, Employee Compensation and Benefits Records.</p> <p>Exclusion 2: Copies filed in the Employee Medical Folder (See DOE 2.7, item 020, Employee Medical Folder)</p> <p>Citations:</p> <p>29 CFR Occupational Safety and Health Administration</p> <ul style="list-style-type: none"> <li>• 29 CFR 1904 Subpart C – Recordkeeping Forms and Recording Criteria</li> <li>• 29 CFR 1904 Subpart D – Other OSHA Injury and Illness Recordkeeping Requirements</li> <li>• 29 CFR 1904 Subpart E – Reporting Fatality, Injury and Illness Information to the Government</li> </ul> <p>10 CFR Worker Safety and Health Program</p> <ul style="list-style-type: none"> <li>• 10 CFR 851.26 – Recordkeeping and reporting</li> </ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	DOE 2.7, item 110
Manual Title	Individual Employee Occupational Injury/Illness Case File
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded    Explanation in Part?



National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

N1-434-92-004 / 26 (in part)	Yes	N1-434-92-004 / 26 (in part) Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, only as it applies to exposure to radiation and hazardous substances.
N1-434-98-001 / 20/B (in part)	Yes	N1-434-98-001 / 20/B (in part) Applies to incident and safety reports/logs as related to records of exposure to hazardous substances and radiation exposure.
N1-434-98-004 / 31 (in part)	Yes	N1-434-98-004 / 31 (in part)Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, only as it applies to records of exposure to hazardous substances and radiation exposure.
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Destroy 250 year(s) after employee separation	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0434-2020-0015-0005		STATUS: Active
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Personnel Radiation Exposure Film Badge Records (LEGACY ONLY)	
Item Description	<p>Film badges document the radiation-doses measured on DOE Federal, contractor and subcontractor employees and visitors. Film badges are not generally managed by “individual”, but by year and must be stored appropriately to avoid outgassing of acetic acid (e.g., vinegar syndrome).</p> <p>Note: Individual exposure data is managed under DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).</p>	
Is this item media neutral?	No	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Media limitation	Paper/analog only
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	DOE 2.7, item 120
Manual Title	Personnel Radiation Exposure Film Badge Records (LEGACY ONLY)
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded    Explanation in Part?
N1-434-96-004 / 1	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy when 100 years old.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>DAA-0434-2020-0015-0006</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Individual Employee Health Hazard Case File (Employee Exposure Records)

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Item Description	<p>Individual employee health hazard case file that include, but is not limited to:</p> <ul style="list-style-type: none"> <li>• radiation exposure history (both internal and external)</li> <li>• exposure to radionuclides and hazardous concentrations of toxic chemicals and other materials</li> </ul> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• skin and nasal contamination incidents, including decontamination details</li> <li>• incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used</li> <li>• In vivo records</li> <li>• investigations of the following types: <ul style="list-style-type: none"> <li>o assimilation of radiation from the chest, specific organs, or whole body</li> <li>o assimilations of radioactive materials in excess of standards and control guides</li> <li>o missing or unusual data concerning exposure of personnel to radiation</li> </ul> </li> <li>• bioassay data and results</li> <li>• investigations establishing the extent of employee(s) exposure to toxic chemicals and materials</li> </ul> <p>Citations:</p> <p>10 CFR Worker Safety and Health Program</p> <ul style="list-style-type: none"> <li>• 10 CFR 835.701-740 (Subpart H) – Occupational Radiation Protection</li> <li>• 10 CFR 851.26 – Recordkeeping and reporting</li> </ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	DOE 2.7, item 130
Manual Title	Individual Employee Health Hazard Case File (Employee Exposure Records)
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
N1-434-98-001 / 12/A (in part)	Yes	N1-434-98-001 / 12/A (in part) Applies to records documenting employees' exposure to radiation and/or hazardous substances.
N1-434-98-001 / 12/B (in part)	Yes	N1-434-98-001 / 12/B (in part) Applies to Occupational Medical Program (OMP) files relating to employees' exposure to radiation and/or hazardous substances.
NC1-430-76-09 / 4/B/1	No	
NC1-430-76-09 / 4/B/2	No	
NC1-430-76-09 / 4/B/3	No	
NC1-430-76-09 / 4/B/4	No	
NC1-430-76-09 / 4/B/5/A	No	
NC1-430-76-09 / 4/B/5/B	No	
NC1-430-76-09 / 5/C (in part)	Yes	NC1-430-76-09 / 5/C (in part) Applies to records relating to exposure filed in the Health Physics personnel folder.
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Destroy 250 year(s) after employee separation	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0434-2020-0015-0007	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Radiation, Industrial Hygiene and Bioassay Summaries and Investigations

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

Item Description	Records include, but are not limited to:	
	<ul style="list-style-type: none"> <li>• statistical summaries, monthly, quarterly, yearly reports, worksheets, data packages and other related papers pertaining to employee exposure to radiation, toxic chemicals, etc. (not maintained by individual employees)</li> <li>• Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, other information used in interim calculations or to verify that recorded data is correct (such as check sheets), and statistical summaries duplicating exposure data.</li> <li>• Records and investigations establishing the extent of employee(s) exposure to toxic chemicals and materials by area or facility (not maintained by individual employees).</li> </ul>	
	Exclusions:	
	<ul style="list-style-type: none"> <li>• Records organized or sorted by “individual employee” - see DOE 2.7, Item 130 for the Individual Employee Health Hazard Case File (Employee Exposure Records).</li> </ul>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>MANUAL CITATION</b>		
Agency Code	DOE 2.7, item 140	
Manual Title	Radiation, Industrial Hygiene and Bioassay Summaries and Investigations	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-434-92-004 / 18	No	
N1-434-98-004 / 22	No	
NC1-430-76-09 / 4/A/3	No	
NC1-430-76-09 / 4/B/5/C	No	
NC1-430-76-09 / 5/C (in part)	Yes	NC1-430-76-09 / 5/C (in part) Applies to records and investigations establishing the extent of employee exposure to toxic chemicals and materials.

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

---

Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy when 75 years old.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0434-2020-0015

Status: APPROVED  
Date Approved: 12/06/2023

---

Signatory Information

<b>Action</b>	<b>User</b>	<b>Date</b>
Accept	Data Migration	05/20/2021
Approve	Colleen Shogan	12/06/2023