

NCD copy

REQUEST FOR RECORDS DISPOSAL AUTHORITY  
(See Instructions on reverse)

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JOB NO	NC 1 142 77 - 7
DATE RECEIVED	03 MAY 1977
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
Date	8-1-77 <i>James B. Chade</i> Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT) Tennessee Valley Authority	
2. MAJOR SUBDIVISION Division of Medical Services	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Ronald E. Brewer	5. TEL EXT 615-755-3351

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 6-23-77	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ronald E. Brewer</i>	E. TITLE Assistant TVA Archivist
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	<p><u>MEDICAL OFFICES AND HEALTH STATIONS</u></p> <p><u>Field Office Compensation Files</u></p> <p>To process compensation cases efficiently and promptly, field offices of TVA maintain a duplicate file of the following types of records, <del>which include</del> forms related to notice of injury or occupational disease; forms related to disability, death, or termination of disability; forms related to claims for compensation due to death or disability; forms related to requests for examinations and treatment of injuries; attending physicians' reports; public vouchers for services of hospitals and physicians, including services and supplies, etc.</p> <p>The file <sup>also</sup> includes <sup>duplicate</sup> copies of material sent to the Federal Employees' Compensation Unit, Division of Medical Services, for inclusion in the record file maintained by that office and scheduled in Item 2 of this schedule.</p> <p>The field office file is used for information and reference while processing the compensation claim. After the claim is closed or becomes inactive, the file has no further value.</p> <p style="text-align: right;"><i>4 items</i></p>		

*Sent to agency and 4 NCN - 8/3/77*

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Field Office Compensation Files</u> - continued</p> <p>(A) Medical field office compensation case files - Destroy upon close of field offices or when file has been inactive for two years, whichever is sooner.</p> <p>2 <u>Medical Record Files</u></p> <p>Medical record files consist of records including x-rays, dental records, compensation case records, and medical records for the following:</p> <p>Non-employees - Candidates who were not approved for employment or who failed to report for duty, certain personal service contractors, and study visitors.</p> <p>Dependents - Employees' dependents who received medical care at remote construction projects.</p> <p>Former Employees - Terminated, transferred to other organizations, deceased, or retired employees.</p> <p><u>Medical records</u> provide a record of preemployment and periodic physical examinations, work restrictions imposed, immunizations, mental hygiene services, diagnoses of disease, treatment of occupational injury or illness, minor illness or injuries of non-occupational nature, and results of related clinical and laboratory tests. In addition, they contain information related to the processing of compensation claims.</p> <p>Many occupational hazards, particularly those of a carcinogenic nature, require several decades to manifest themselves. This fact has been recognized by the National Institute for Occupational Safety and Health, Center for Disease Control, Public Health Service, U. S. Department of Health, Education, and Welfare. They subsequently recommend the retention of <sup>certain</sup> medical records for up to 30 years beyond termination of employment. (See attachment A for a few examples)</p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Medical Record Files - continued</u></p> <p>The Occupational Safety and Health Act, to which TVA is subject by Executive Order, requires specific medical record retention periods for individuals exposed to various hazards (e.g., 40 years or 20 years past termination, whichever is longer, for records of asbestos-exposed workers). (See attachment B)</p> <p>Since in many cases, we are not able, ahead of time, to specify which exposures will be deemed hazardous and what the subsequent legal retention requirements will be, we request the following procedure and disposition instructions be approved:</p> <p>(A) <del>Paper Records -- Retain the medical records in original form for 20 years past termination of employment.</del> RTB 6/29/77</p> <p>(1) <del>Nonessential paper records - twenty years after termination of employment, the medical record file will be purged of all data which has become nonessential and these records will be destroyed.</del> (Nonessential records include immunization records; forms TVA 9880, Employee Status and Information Record; forms TVA 9081, Out-Patient Record (form used to note each visit to a medical unit for services such as blood pressure check, colds, eye examinations, aspirin, and other minor treatments); laboratory record material such as urinalysis records, blood analysis, blood pressure; and some correspondence with outside physicians, form letters to employees regarding periodic examination results, correspondence on congressional inquiries on compensation claims, etc.)  <del>20 yrs. after termination of employment, nonessential records from file and destroy them.</del> RTB 6/29/77</p> <p>(2) <del>Essential paper records - The essential paper records remaining in the file will be microfilmed and destroyed when acceptable microfilm</del>                      after removal of nonessential records 20 yrs. after termination of employment,                      RTB 6/29/77</p>		

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	<p><u>Medical Record Files</u> - continued</p> <p><del>is obtained.</del> Essential records include original medical examination records, audiogram records, periodic health examinations, occupational history records, reports of occupation-related condition or disease, reports of medical examinations of non-TVA personnel, mobile health clinic examination record, special back examinations, electrocardiogram mounts, clinical laboratory records, pulmonary function records, certificates of medical history, dental examination records, etc.</p> <p>20 yrs. after termination of employment, Microfilm and destroy (when acceptable microfilm copy is obtained) these essential paper records remaining in the file after removal of nonessential records <sup>as listed in A(1) above.</sup> <del>20 years after termination of employment.</del> R10 6/29/77</p> <p>(B) Microfilm - Destroy in agency 20 years from date of filming.</p> <p>The records will be microfilmed in accordance with FPMR 101-11.4 and FPMR 101-11.5.</p>		