

DEPARTMENT OF ENERGY (DOE) 2.7: Employee Health and Safety Records

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.

Item	Records Description	Disposition Instruction	Disposition Authority
Medical			
010 EPI	Clinic Scheduling Records Records of clinic visits, both occupational and non-occupational generated by an on-site OR outside health unit when performing medical services on behalf of the government under contract services. Records include, but are not limited to: - 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 (e.g., logs and registers reflecting daily number of visits to dispensaries, first aid rooms and health units, regardless if summarized) Note: GRS 2.7, item 010 authorizes use of longer retention; records are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	Temporary. Destroy when 75 years old.	DAA-GRS-2017-0010-0001
020 EPI	Individual Medical Case File (Federal and Contractor) 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.	Temporary. Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0015-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	These records include, but are not limited to: • forms, correspondence, and other records relating to an employee’s medical history • occupational injuries or illness • physical examinations • work related / non-occupational visits and all treatment received in the health unit • pre-placement physical examinations and disability retirement and fitness for duty examinations • medical and diagnostic laboratory records, including, but not limited to x-ray (digital) and x-ray interpretations/reports • records that contain date of employee’s visit, diagnosis, and treatment • may also include records of exposure to chemical, physical, biological, safety workplace hazards and radiation 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. 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. Note 3: If non-occupational are maintained separately from occupational health records, utilize GRS 2.7, item 070, for non-occupational health records.		
030	Deteriorating X-rays 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.	Temporary. Destroy immediately upon proper notification.	DAA-0434-2020-0015-0002

Item	Records Description	Disposition Instruction	Disposition Authority
040	Individual Employee Medical X-rays Note: Retention will change to destroy 30 years after employee separation or transfer to meet 29 CFR 1910 Subpart D and 29 CFR 1904 Subpart Z requirements. PENDING NARA APPROVAL. 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).	Temporary. Destroy 10 years after employee separation or transfer.	DAA-0434-2020-0015-0003
Occupational Health			
100	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 • DOE Computerized Accident Incident Reporting System (CAIRS) Exclusion: Workers' Compensation (personnel injury compensation) records are covered in DOE 2.4, item 100 Note: GRS 2.7, item 020 authorizes use of longer retention; are needed to support various departmental Health and Safety Programs that require records to be maintained for a longer period of time.	Temporary. Destroy when 75 years old.	DAA-GRS-2017-0010-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	Citations: 29 CFR Occupational Safety and Health Administration • 29 CFR 1904 Subpart C – <i>Recordkeeping Forms and Recording Criteria</i> • 29 CFR 1904 Subpart D – <i>Other OSHA Injury and Illness Recordkeeping Requirements</i> • 29 CFR 1904 Subpart E – <i>Reporting Fatality, Injury and Illness Information to the Government</i>		
110 EPI	Individual Employee Occupational Injury/Illness Case File 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: • DOE forms and reporting systems, • OSHA forms/reports (also maintained in Occupational Injury and illness program records, DOE 2.7, item 100) • forms/reports related to accident, injuries, illnesses, etc. that occur during DOE Operations • correspondence Exclusion 1: Workers’ Compensation (personnel injury compensation) records are covered under item 100 of DOE 2.4, Employee Compensation and Benefits Records. Exclusion 2: Copies filed in the Employee Medical Folder (See DOE 2.7, item 020, Employee Medical Folder) Citations: 29 CFR Occupational Safety and Health Administration • 29 CFR 1904 Subpart C – <i>Recordkeeping Forms and Recording Criteria</i> • 29 CFR 1904 Subpart D – <i>Other OSHA Injury and Illness Recordkeeping Requirements</i> • 29 CFR 1904 Subpart E – <i>Reporting Fatality, Injury and Illness Information to the Government</i> 10 CFR Worker Safety and Health Program • 10 CFR 851.26 – <i>Recordkeeping and reporting</i>	Temporary. Destroy 250 years after employee separation or transfer.	DAA-0434-2020-0015-0004

Item	Records Description	Disposition Instruction	Disposition Authority
120 EPI	Personnel Radiation Exposure <u>Film Badge</u> Records (LEGACY ONLY) 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). Note: Individual exposure data is managed under DOE 2.7, Item 130, Individual Employee Health Hazard Case File (Employee Exposure Records).	Temporary. Destroy when 100 years old.	DAA-0434-2020-0015-0005
130 EPI	Individual Employee Health Hazard Case File (Employee Exposure Records) Individual employee health hazard case file that include, but is not limited to: - radiation exposure history (both internal and external) - exposure to radionuclides and hazardous concentrations of toxic chemicals and other materials Records include, but are not limited to: - skin and nasal contamination incidents, including decontamination details - incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used - In vivo records - investigations of the following types: - assimilation of radiation from the chest, specific organs, or whole body - assimilations of radioactive materials in excess of standards and control guides - missing or unusual data concerning exposure of personnel to radiation - bioassay data and results - investigations establishing the extent of employee(s) exposure to toxic chemicals and materials	Temporary. Destroy 250 years after employee separation or transfer. Note: Separation is defined as employment separation OR separation from the exposure program.	DAA-0434-2020-0015-0006

Item	Records Description	Disposition Instruction	Disposition Authority
	Citations: 10 CFR Worker Safety and Health Program 10 CFR 835.701-740 (Subpart H) – Occupational Radiation Protection 10 CFR 851.26 – Recordkeeping and reporting		
140 EPI	Radiation, Industrial Hygiene and Bioassay Summaries and Investigations Records include, but are not limited to: - 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) - 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 - records and investigations establishing the extent of employee(s) exposure to toxic chemicals and materials by area or facility (not maintained by individual employees) Exclusions: - Records organized or sorted by “individual employee” - see DOE 2.7, Item 130 for the Individual Employee Health Hazard Case File (Employee Exposure Records).	Temporary. Destroy when 75 years old.	DAA-0434-2020-0015-0007

GENERAL RECORDS SCHEDULE (GRS) 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 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.
3. 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. SUPERSEDED by DOE 2.7, item 010, Clinical Scheduling Records (Occupational and Non-Occupational) 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 3 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0001
Occupational Health Records			
020	Occupational injury and illness program records. SUPERSEDED by DOE 2.7, item 100, 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	Temporary. Destroy when 6 years old, but longer retention is authorized if needed for business use.	DAA-GRS-2017-0010-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	• ~~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.~~ Legal Citations: ~~29 CFR Part 1904.33 and 29 CFR Part 1960.69.~~		
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. DOE NOTE: For exclusion 2, utilize DOE 2.6, item 010, Individual Mission Related Employee Training Records (Federal and Contractor) until superseded. Legal Citation: 29 CFR Part 1910.120 App E(9)	Temporary. Destroy 5 years after training participation or when superseded, whichever is applicable.	DAA-GRS-2017-0010-0003

Item	Records Description	Disposition Instruction	Disposition Authority
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.	OSHA-regulated substance monitoring and exposure records. SUPERSEDED by DOE 2.7, item 130, Individual Employee Health Hazard Case File (Employee 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
041	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) —	Occupational noise monitoring and exposure records. SUPERSEDED by DOE 2.7, item 130, Individual Employee Health Hazard Case File (Employee 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

Item	Records Description	Disposition Instruction	Disposition Authority
042	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. SUPERSEDED by DOE 2.7, item 130, Individual Employee Health Hazard Case File (Employee 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
043	Background data. SUPERSEDED by DOE 2.7, item 130, Individual Employee Health Hazard Case File (Employee Exposure Records). 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

Item	Records Description		Disposition Instruction	Disposition Authority
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. DOE NOTE: For the exclusion, utilize DOE 2.7, item 130, Individual Employee Health Hazard Case File (Employee Exposure Records). 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.~~ DOE NOTE: Destroy 75 years after substance removed from service.	DAA-GRS-2017-0010-0008
060	Occupational individual medical case files. These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes: personal and occupational health histories	Long-term records. SUPERSEDED by DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor) 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	Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.	DAA-GRS-2017-0010-0009

Item	Records Description	Disposition Instruction	Disposition Authority
	- 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.	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 Part 293, Subpart E, Part 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).	
061	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.	Short-term records. SUPERSEDED by DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor)	Temporary. Destroy 1-year after employee separation or transfer. DAA-GRS-2017-0010-0010
062	Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.	Individual employee health case files created prior to establishment of the Employee Medical File system in 1986. SUPERSEDED by DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor)	Temporary. Destroy 60 years after retirement to the NARA records storage facility. DAA-GRS-2017-0010-0011

Item	Records Description		Disposition Instruction	Disposition Authority
063 EPI	Vaccination attestations and proof of vaccination records. Records attesting to an individuals' current vaccination status and providing proof or certification of vaccination.	Federal employees and contractors. Applies only to records related to federal employees and contractors of the agency collecting the records. Note: If agencies file these records in occupational health files, use the disposition authority for occupational health files instead.	Temporary. Destroy when 3 years old.	DAA-GRS-2021-0003-0001
064		Visitors. Includes federal employees and contractors visiting from other agencies.		
065	Symptom screening and testing records. Records related to screening and testing intended to detect a possible communicable or infectious disease, if collected. Includes: • symptom check/screening data • testing records/results	Federal Employees. Applies only to records related to federal employees of the agency collecting the records.	Temporary. Destroy when 1 year old.	DAA-GRS-2021-0003-0003
066		Contractors and visitors. Includes federal employees that are visiting from another agency.		
Non-Occupational Health Records				
070	Non-occupational individual medical case files. DOE NOTE: If occupational are maintained with non-occupational health records, utilize DOE 2.7, item 020, Individual Medical Case File (Federal and Contractor). 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: American Health Information Management Association (AHIMA) Recommended Retention Standards [Appendix D from the 2011 update] and 31 U.S.C. 3731(b), False Claims Act.		Temporary. Destroy 10 years after the most recent encounter.	DAA-GRS-2017-0010-0012

Item	Records Description		Disposition Instruction	Disposition Authority
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 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		Temporary. Destroy 3 years after the project/activity/ or transaction is completed or superseded.	DAA-GRS-2017-0010-0013
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

Item	Records Description		Disposition Instruction	Disposition Authority
091 EPI		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 • 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	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 providers subject to state requirements.	DAA-GRS-2017-0010-0015
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.		Temporary. Destroy when 3 years old or when superseded or obsolete.	DAA-GRS-2017-0010-0016

Item	Records Description		Disposition Instruction	Disposition Authority
	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.			
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
120	Employee drug testing specimen records. 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, <i>e.g.</i>, chain-of-custody records.		Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0018
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,	Positive results. DOE NOTE: NARA is updating this schedule to align with the requirements of 49 CFR 40.333 with a 5-year retention. DO NOT DESTROY any records until published.	Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later.	DAA-GRS-2017-0010-0019
131	Employee Acquisition Records, items 050 and 051.	Negative results.	Temporary. Destroy when 3 years old.	DAA-GRS-2017-0010-0020