

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2017-0010

Status: APPROVED  
Date Approved: 10/11/2017  
Last Modified: 11/10/2024

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## General Information

Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record/Scheduling Group	GRS - General Records Schedules
Records Schedule Applies To	Government-wide All agencies except:
Schedule Subject	General Records Schedule 2.7: Employee Health and Safety Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>This schedule covers records about employee health and safety functions within Federal agencies. This schedule applies only to civilian health records, although in both civilian and military agencies. Military healthcare management follows very different processes and creates records that are unique to only a few agencies. Therefore these records are not covered in the GRS.</p> <p>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.</p> <p>Health and Safety Committee records are covered by GRS 5.1, item 030, Records of non-mission related internal agency committees.</p> <p>Agency-specific records schedules address records of mission-related Federal research, monitoring, standard-setting and enforcement activities to ensure environmental protection, occupational safety, and public health.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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## Item Count

Total number of disposition items: 20

Number of Temporary disposition items: 20

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-GRS-2017-0010

Item #	Title	Disposition
0001	Clinic scheduling records.	Temporary
0002	Occupational Health Records : Occupational injury and illness program records.	Temporary
0003	Occupational Health Records : Occupational health and safety training records.	Temporary
0004	Occupational Health Records : Workplace environmental monitoring and exposure records. : OSHA-regulated substance monitoring and exposure records.	Temporary
0005	Occupational Health Records : Workplace environmental monitoring and exposure records. : Occupational noise monitoring and exposure records.	Temporary
0006	Occupational Health Records : Workplace environmental monitoring and exposure records. : Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.	Temporary
0007	Occupational Health Records : Workplace environmental monitoring and exposure records. : Background data.	Temporary
0008	Occupational Health Records : Safety Data Sheets (SDS).	Temporary
0009	Occupational Health Records : Occupational individual medical case files. : Long-term records.	Temporary
0010	Occupational Health Records : Occupational individual medical case files. : Short-term records.	Temporary
0011	Occupational Health Records : Occupational individual medical case files. : Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.	Temporary
0012	Non-Occupational Health Records : Non-occupational individual medical case files.	Temporary
0013	Non-Occupational Health Records : Non-occupational health and wellness program records.	Temporary
0014	Non-Occupational Health Records : Employee Assistance Program (EAP) counseling records. : Records related to employee performance or conduct.	Temporary

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0015	Non-Occupational Health Records : Employee Assistance Program (EAP) counseling records. : Records not related to performance or conduct.	Temporary
0016	Drug-free Workplace Program Records : Employee drug test plans, procedures, and scheduling records.	Temporary
0017	Drug-free Workplace Program Records : Employee drug test acknowledgment of notice forms.	Temporary
0018	Drug-free Workplace Program Records : Employee drug testing specimen records.	Temporary
0019	Drug-free Workplace Program Records : Employee drug test results. : Positive results.	Temporary
0020	Drug-free Workplace Program Records : Employee drug test results. : Negative results.	Temporary

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**Records Schedule Items**

<b>DAA-GRS-2017-0010-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Clinic scheduling records.	
Item Description	Scheduling records of clinic visits, both occupational and non-occupational. Includes: <ul style="list-style-type: none"> <li>• patient's name, time of appointment, and type of work to be performed</li> <li>• details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit</li> <li>• notifications about appointment updates</li> <li>• patient visit and other scheduling-related statistics</li> </ul>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	GRS 2.7, item 010	
<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
NC1-64-77-10 / 20/A	No	
NC1-64-77-10 / 20/B	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Other: Destroy when 3 years old, but longer retention is authorized if needed for business use.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

<b>Group Title</b>	<b>Occupational Health Records</b>
<b>DAA-GRS-2017-0010-0002</b>	<b>STATUS: Active</b>

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<b>ITEM GENERAL INFORMATION</b>					
Item Title	Occupational injury and illness program records.				
Item Description	<p>Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Includes:</p> <ul style="list-style-type: none"> <li>• miscellaneous reports, annual summaries or reports to the Secretary of Labor</li> <li>• correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA)</li> <li>• OSHA 300 Log</li> <li>• OSHA 301 Incident Report</li> <li>• OSHA 300A Summary or equivalent</li> </ul> <p>Exclusion: Workers' Compensation (personnel injury compensation) records are covered under items 100 and 101 of GRS 2.4, Employee Compensation and Benefits Records.</p> <p>Legal Citations: 29 CFR Part 1904.33 and 29 CFR Part 1960.69.</p>				
Is this item media neutral?	Yes				
Is this item a Big Bucket?					
<b>MANUAL CITATION</b>					
Agency Code	GRS 2.7, item 020				
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>					
Does this item supersede existing disposition authorities?	Yes				
	Superseded Items				
Superseded Item	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%; text-align: left;">Item Superseded in Part?</th> <th style="width: 40%; text-align: left;">Explanation</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">N1-GRS-87-6 / 35</td> <td style="padding: 5px;">No</td> </tr> </tbody> </table>	Item Superseded in Part?	Explanation	N1-GRS-87-6 / 35	No
Item Superseded in Part?	Explanation				
N1-GRS-87-6 / 35	No				
Is this item a deviation from the GRS?	No				
<b>DISPOSITION INSTRUCTION</b>					
Final Disposition	Temporary				
Retention Period	Other: Destroy when 6 years old, but longer retention is authorized if needed for business use.				
<b>ADDITIONAL INFORMATION</b>					
Are any of the records covered by this item national security classified?					
GAO Approval Required	No				
<b>DAA-GRS-2017-0010-0003</b>	<b>STATUS: Active</b>				

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<b>ITEM GENERAL INFORMATION</b>	
Item Title	Occupational health and safety training records.
Item Description	<p>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.</p> <p>Exclusion 1: Records appropriate for long-term retention in an Official Personnel Folder, such as academic transcripts and professional licenses. GRS 2.2, Employee Management Records, item 040 covers these.</p> <p>Exclusion 2: Training records related to job-specific activities or that may impact individual occupational health. Items 060 and 061 of this schedule cover these.</p> <p>Legal Citation: 29 CFR Part 1910.120 App E(9)</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 030
<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 5 years after training participation or when superseded, whichever is applicable, but longer retention is authorized if required for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>Group Title</b>	Occupational Health Records : Workplace environmental monitoring and exposure records.
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<b>Group Description</b>	<p>Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results.</p> <p>Note 1: Biological monitoring results, such as blood and urine analysis results, designated as exposure records by specific Occupational Safety and Health Administration (OSHA) standards are maintained as required by the specific standard governing their use. For more information, refer to 29 CFR 1910.1020(c)(5) – Employee exposure records and 29 CFR 1910.1020(c)(5)(ii).</p> <p>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.</p>
<b>DAA-GRS-2017-0010-0004 STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	OSHA-regulated substance monitoring and exposure records.
Item Description	<p>Area/general occupational exposure records and select carcinogen exposure records from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan.</p> <p>Exclusion: Employee-specific occupational exposure records appropriate for individual occupational medical case files are covered by item 060.</p> <p>Legal Citations: 29 CFR Part 1910.1020(d)(1)(ii) and 29 CFR Part 1910.1020(d)(1)(iii).</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 040
<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

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Retention Period	Other: Destroy no sooner than 30 years after monitoring is conducted, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0005</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Occupational noise monitoring and exposure records.
Item Description	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)
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 041
<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 no sooner than 2 years after monitoring is conducted, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0006</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Lead (Pb), Coke Oven emissions, Dibromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic monitoring and exposure records.

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Item Description	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)
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 042
<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: Temporary. Destroy no sooner than 40 years after monitoring is conducted, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0007</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Background data.
Item Description	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)
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	

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Agency Code	GRS 2.7, item 043
<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 no sooner than 1 year after monitoring is conducted, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>Group Title</b>	Occupational Health Records
DAA-GRS-2017-0010-0008	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Safety Data Sheets (SDS).
Item Description	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)
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	

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Agency Code	GRS 2.7, item 050
<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 when business use ceases.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>Group Title</b>	Occupational Health Records : Occupational individual medical case files.
<b>Group Description</b>	<p>These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• personal and occupational health histories</li> <li>• opinions and written evaluations generated in the course of diagnosis and employment-related treatment/examination by medical health care professionals and technicians</li> <li>• 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)</li> <li>• employee audiometric testing records</li> </ul> <p>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.</p> <p>Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.</p>
<b>DAA-GRS-2017-0010-0009</b>	<b>STATUS: Active</b>

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<b>ITEM GENERAL INFORMATION</b>							
Item Title	Long-term records.						
Item Description	<p>Exclusion: Individual non-occupational medical records are covered by item 070.</p> <p>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 Part 293, Subpart E, Part 504)</p> <p>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.</p> <p>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.</p> <p>Legal Citations: 5 CFR Part 293.511(b), 29 CFR 1910.1020(d)(1)(i), and 29 CFR Part 1910.95(m)(3)(ii).</p>						
Is this item media neutral?	Yes						
Is this item a Big Bucket?							
<b>MANUAL CITATION</b>							
Agency Code	GRS 2.7, item 060						
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>							
Does this item supersede existing disposition authorities?	Yes						
	Superseded Items						
Superseded Item	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%; text-align: left;">Item Superseded in Part?</th> <th style="text-align: left;">Explanation</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">N1-GRS-86-4 / 21/A/2</td> <td style="padding: 5px;">No</td> </tr> <tr> <td style="padding: 5px;">Is this item a deviation from the GRS?</td> <td style="padding: 5px;">No</td> </tr> </tbody> </table>	Item Superseded in Part?	Explanation	N1-GRS-86-4 / 21/A/2	No	Is this item a deviation from the GRS?	No
Item Superseded in Part?	Explanation						
N1-GRS-86-4 / 21/A/2	No						
Is this item a deviation from the GRS?	No						
<b>DISPOSITION INSTRUCTION</b>							
Final Disposition	Temporary						
Retention Period	Other: Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer.						
<b>ADDITIONAL INFORMATION</b>							

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0010 STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Short-term records.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 061
<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-GRS-86-4 / 21/B	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy 1 year after employee separation or transfer.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0011 STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 062
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items

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Superseded Item	Item Superseded in Part?	Explanation
N1-GRS-86-4 / 21/C	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Other: Destroy 60 years after retirement to the NARA records storage facility.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

<b>Group Title</b>	Non-Occupational Health Records	
DAA-GRS-2017-0010-0012	STATUS: Active	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Non-occupational individual medical case files.	
Item Description	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.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	GRS 2.7, item 070	
<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
NC1-64-77-10 / 19	No	

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Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy 10 years after the most recent encounter, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0013</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Non-occupational health and wellness program records.
Item Description	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: <ul style="list-style-type: none"> <li>• health risk appraisals</li> <li>• biometric testing</li> <li>• health coaching</li> <li>• disease management</li> <li>• behavioral management</li> <li>• preventive services</li> <li>• fitness programs</li> </ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 080
<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
NC1-64-77-10 / 27/B	No
Is this item a deviation from the GRS?	No

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<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy 3 years after the project/activity/ or transaction is completed or superseded, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Non-Occupational Health Records : Employee Assistance Program (EAP) counseling records.
Group Description	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.

**DAA-GRS-2017-0010-0014** **STATUS: Active**

<b>ITEM GENERAL INFORMATION</b>	
Item Title	Records related to employee performance or conduct.
Item Description	Records of counseling services provided through the EAP for performance or conduct reasons. Records include documentation of: <ul style="list-style-type: none"> <li>• leave and attendance</li> <li>• performance</li> <li>• alleged inappropriate behavior or workplace violence</li> <li>• reason for referral</li> <li>• management interventions</li> <li>• illegal drug or alcohol use <ul style="list-style-type: none"> <li>o test results for use of illegal drugs</li> <li>o test results for alcohol consumption on the job</li> <li>o substance abuse assessment, treatment, aftercare, and monitoring records</li> </ul> </li> </ul> <p>Note: GRS 2.3, Employee Relations Records, covers adverse action files under item 061 and performance-based action files under item 062.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	

<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 090

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Records Schedule Number: DAA-GRS-2017-0010

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Date Approved: 10/11/2017  
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<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 once employee has met condition(s) specified by agreement or adverse action or performance-based action case file has been initiated.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0015</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Records not related to performance or conduct.
Item Description	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: <ul style="list-style-type: none"> <li>• Privacy Act and signed written consent forms</li> <li>• psychosocial history and assessments</li> <li>• medical records</li> <li>• correspondence with the client</li> <li>• clinical and education interventions</li> <li>• records of attendance at treatment, kinds of treatment, and counseling programs</li> <li>• identity and contact information of treatment providers</li> <li>• name, address, and phone number of treatment facilities</li> <li>• notes and documentation of internal EAP counselors</li> <li>• insurance data</li> <li>• intervention outcomes</li> </ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 091
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
NC1-64-77-10 / 27/A	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: 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, but longer retention is authorized if needed for business use.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>Group Title</b>	Drug-free Workplace Program Records
DAA-GRS-2017-0010-0016	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Employee drug test plans, procedures, and scheduling records.

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Records Schedule Number: DAA-GRS-2017-0010

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Item Description	<p>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:</p> <ul style="list-style-type: none"> <li>• agency copies of plans and procedures, with related drafts, correspondence, and memoranda</li> <li>• lists of selectees</li> <li>• notification letters</li> <li>• testing schedules</li> </ul> <p>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.</p> <p>Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.</p> <p>Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	GRS 2.7, item 100	
<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-GRS-90-2 / 36/C	No	
N1-GRS-98-2 / 6	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Other: Destroy when 3 years old or when superseded or obsolete.	

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<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
<b>DAA-GRS-2017-0010-0017</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Employee drug test acknowledgment of notice forms.	
Item Description	Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	GRS 2.7, item 110	
<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-GRS-90-2 / 36/B	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Retention Period	Other: Destroy when employee separates from testing-designated position.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
<b>DAA-GRS-2017-0010-0018</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Employee drug testing specimen records.	

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Records Schedule Number: DAA-GRS-2017-0010

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Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 120
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
<b>Superseded Items</b>	
Superseded Item	Item Superseded in Part? Explanation
N1-GRS-90-2 / 36/D/1	No
N1-GRS-90-2 / 36/D/2	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy 3 years after date of last entry or when 3 years old, whichever is later.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Drug-free Workplace Program Records : Employee drug test results.
Group Description	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.
DAA-GRS-2017-0010-0019	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Positive results.

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Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 130
<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-GRS-98-1 / 36/E/2/A	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Other: Destroy when employee leaves the agency or when 3 years old, whichever is later.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
<b>DAA-GRS-2017-0010-0020</b> <span style="float: right;"><b>STATUS: Active</b></span>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Negative results.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	GRS 2.7, item 131
<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-GRS-98-1 / 36/E/1 in part	Yes      N1-GRS-98-1 / 36/E/1 in part
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary

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Retention Period	Other: Destroy when 3 years old.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	10/11/2017