
U.S. Department of State Records Schedule

Chapter 12: Medical Services Records

Examination and Treatment

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A-12-001-01a **Occupational Individual Medical Case Files**

Description: For separated employees. 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
- opinions and written evaluations generated in the course of diagnosis and employment-related treatment/examination by medical health care professionals and technicians
- employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise)
- employee audiometric testing records

Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance. Other entities should follow agency policy.

Exclusion: Records of claims filed under the Federal Employees Compensation Act (FECA) are covered under GRS 2.4, items 100 and 101.

Long-term records.

Exclusion: Individual non-occupational medical records are covered by item 070.

Note 1: While non-occupational/patient records pertaining to an employee are not required to be included as a record within the individual occupational medical case files, under certain conditions, copies of such records are occupationally-related and, in those cases, may be included in the individual occupational medical case files. (5 CFR 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).

Disposition: Temporary. Destroy 30 years after employee separation or when the Official Personnel Folder (OPF) is destroyed, whichever is longer. (Supersedes N1-059-89-37, item 1a2)

DispAuthNo: DAA-GRS-2017-0010-0009 (G) **Date Edited:** 1/17/2018

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A-12-001-02 Medical Examination File - Unsuccessful Applicants

Description: Consists of Certificates of Examination, Forms SF-78, 38 and 89, and DS-1686, 1622 and OF-264 which replaces DS-1686a, Report of Medical Examination.

Note: Dependents accompanying employee on tour of duty may have to undergo the same physical examinations or obtain the same inoculations as the employee.

Disposition: Destroy 2 years after applicant rejection or failure to report for duty.

DispAuthNo: NN-166-005, item 2 **Date Edited:** 7/25/2007

A-12-001-03 Personnel Computer Listings

Description: Computer listings of personnel of the Department of State and other agencies used to audit the Employee Medical Folder to determine proper spelling of name, age, and current employing agency.

Disposition: Destroy when superseded.

DispAuthNo: NN-166-005, item 3 **Date Edited:** 7/25/2007

A-12-001-04 Records of Retired Case Files

Description: Consists of name card prepared for each file retired to the Federal Records Center.

Disposition: Destroy when corresponding Medical Case Files are destroyed.

DispAuthNo: NC1-059-76-12, item 2 **Date Edited:** 7/31/2007

A-12-001-05 Examination Register

Description: Consists of copies of Medical Examination Registration Form, DS-1456, showing personnel data and whether patient was previously examined in MED.

Disposition: Destroy reception desk copy when 1 month old; destroy original used by Control Clerk when no longer needed.

DispAuthNo: NN-171-170, item 2 **Date Edited:** 7/25/2007

A-12-001-06 Medical Clearance

Description: Consists of copies of DS-823, Medical Clearance, including waivers of medical clearance, for assignment or location abroad, upon direct hire to overseas post, or upon return to U.S. for assignment, separation, or home leave.

Disposition: File original report in Employee Medical Folder (EMF). Destroy working copies after issuance.

DispAuthNo: N1-059-89-37, item 6 **Date Edited:** 4/1/1999

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A-12-001-07 X-Ray Films

Description: Consists of X-Rays generated for persons examined by the Medical Staff or other medical facilities.

Disposition: Transfer to RSC 1 year after date of separation for transfer to WNRC. Destroy when 30 years old. (ref. N1-059-89-37, item 7)

DispAuthNo: N1-059-97-19, item 1

Date Edited: 4/1/1999

A-12-001-08 Radiographic Report File

Description: Consists of a copy of the Radiographic Report (SF-519a) used as an index to the X-ray plate file. Report is transferred to inactive file upon retirement or destruction of X-ray plate. Original report is made a part of the Employee Medical Folder (EMF), Item 120101.

Disposition: Destroy 5 years after transfer to inactive file.

DispAuthNo: NN-166-005, item 28

Date Edited: 7/25/2007

A-12-001-09 Laboratory Reports File

Description: Copies of laboratory report forms such as SF-514a, Urinalysis, and SF-514b, Hematology, etc., used for reference purposes. Original report is made part of the Employee Medical Folder (EMF), Item 120101.

Disposition: Destroy 3 months after date of report.

DispAuthNo: NN-166-005, item 29

Date Edited: 7/25/2007

A-12-001-10 Daily Record Sheet

Description: A log used to record number of daily clinical treatments provided by the Health Unit. Information is used for budget and statistical reporting.

Disposition: Destroy 1 year after last entry.

DispAuthNo: NN-166-005, item 33

Date Edited: 7/25/2007

A-12-001-11 Parasitology/Tropical Medicine

Description: Consists of duplicate copies of Feces Report (SF-514g), Antibiotic Sensitivity Report (DS-1705), Instructions for Parasitic Examination (DS-1501); and various other duplicate laboratory and diagnostic test reports

a. Negative laboratory test reports on which no previous parasitology case file is maintained.

Disposition: Destroy 30 days after date of report.

DispAuthNo: NN-171-170, item 3a

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A-12-001-12b	Contractor Medical Records
Description:	b. Records relating to routine treatment of examination of individuals admitted to or voluntarily seeking treatment at health care facilities for non-job-related reasons. Note: Records resulting from on-the-job injuries are maintained in accordance with item no. 120302.
Disposition:	Destroy when 6 years old.
DispAuthNo:	N1-059-89-37, item 11
	Date Edited: 7/25/2007
A-12-001-13	Immunizations - Vaccinations available to American employees and their dependents
Description:	a. Job-related. Vaccinations which are required as part of employment or current position.
Disposition:	File original report in Employee Medical Folder (EMF). Destroy working copies after issuance.
DispAuthNo:	N1-059-89-37, item 12
	Date Edited: 7/25/2007
A-12-001-13a	Immunizations - Vaccinations available to American employees and their dependents
Description:	b. Non job-related. Vaccinations offered for the convenience and at the option of the employee, for example, flu and allergy shots.
Disposition:	Destroy when 6 years old.
DispAuthNo:	N1-059-89-37, item 12
	Date Edited: 7/25/2007
A-12-001-14	Medical Information Management System (MIMS).
Description:	Consists of selected medical information on individuals covered under the Department Medical Program used for purposes of retrospective analyses.
Disposition:	Destroy or delete when no longer needed.
DispAuthNo:	N1-059-89-37, item 13
	Date Edited: 7/25/2007

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General Administrative

A-12-002-01 Medical Program Policy Files

Description: Consists of policy documents pertaining to the medical program, including surveys, studies, standards, interagency agreements, regulations and other similar program material.

Disposition: Permanent. Transfer inactive files to the RSC for transfer to WNRC when 5 years old. Transfer to NARA when 30 years old.

DispAuthNo: N1-059-89-37, item 14 **Date Edited:** 7/25/2007

A-12-002-02 Post Files

Description: Consists of reports of immunizations, health and sanitation and medical conditions at various posts; correspondence concerning need for and/or shipment of medical supplies, and post inspection reports. Includes copies of medical contracts with private local physicians for immunizations, examinations and treatments of Foreign Service personnel, including copies of Statement of Certificate of Award of Contract and other reports and correspondence relating to the operation of health units, health problems, medical inspection visits, etc.

Disposition: Destroy when 20 years old.

DispAuthNo: NN-166-005, item 11 **Date Edited:** 7/25/2007

A-12-002-03 Contract Files

Description: a. Professional Services Contracts. Copies of contracts pertaining to employment of physicians, nurses and laboratory technicians; and service contracts with hospitals, laboratories, laundries, etc. Original contracts maintained by the Office of Personnel.

Disposition: Destroy 2 years after completion of termination.

DispAuthNo: NN-171-170, item 5 **Date Edited:** 7/25/2007

A-12-002-03a Contract Files

Description: b. Unsuccessful Applications for Contract Employment. Unsuccessful applications for contractual employment of physicians, nurses and laboratory technicians.

Disposition: Destroy when 2 years old.

DispAuthNo: NN-166-005, item 9 **Date Edited:** 7/25/2007

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A-12-002-04 Statistical Work Reports

Description: Consists of copies of work reports prepared for administrative office by various medical units.

Disposition: Destroy 1 year after date of report.

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A-12-003-02	Workers' Compensation (personnel injury compensation) Records
Description:	Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records. Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes: <ul style="list-style-type: none">• forms, reports, correspondence, claims (Forms CA-1 and CA-2)• medical and investigatory records• administrative determinations or court rulings• payment records Exclusion 1: Copies filed in the Employee Medical Folder. Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.
Disposition:	Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed. (Supersedes GRS 1, item 31)
DispAuthNo:	DAA-GRS-2016-0015-0012 (G) Date Edited: 9/5/2017
A-12-003-03	Register/log of occupational illnesses and injuries
Description:	Register/log of occupational illnesses and injuries.
Disposition:	Destroy 6 years following the end of the related fiscal year.
DispAuthNo:	N1-059-89-37, item 20 Date Edited: 7/25/2007
A-12-003-04	Voucher for Medical Services
Description:	Working copies of OF-254, Voucher or Sub-Voucher for Medical Services, which is certified and sent to Fiscal Services for payment.
Disposition:	Destroy when 1 year old.
DispAuthNo:	NN-166-005, item 18 Date Edited: 7/25/2007
