Chapter 12: Medical Services Records

Examination and Treatment

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:			
	<ul> <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>			
	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			

A-12-001- 01b	Employee Medical Folder - Temporary medical records		
Description:	b. Consist of records relating to treatments or examinations received on a voluntary basis for non-job-related reasons except when such records result as a condition of employment or relate to an on-the-job occurrence. See FPM Chapter 293-31 for records generally not considered part of EMFS but may be included under certain circumstances.		
Disposition:	Destroy 6 years after separation or transfer of employee.		
DispAuthNo:	N1-059-89-37, item 1b <b>Date Edited:</b> 4/1/1999		
A-12-001- 01c	Occupational Individual Medical Case Files		
Description:	<ul> <li>Employee Medical Folder - Individual Employee Health Case Files. Individual employee health case files created prior to establishment of the Employee Medical File system in 1986.</li> <li>These records are also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. Includes:</li> <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> Note: For those entities subject to OPM's requirements, OPM determines which of these 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.		
Disposition:	Temporary. Destroy 60 years after retirement to the NARA records storage facility. (Supersedes GRS 1, item 21c)		
DispAuthNo:	DAA-GRS-2017-0010-0011 (G Date Edited: 1/17/2018		

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	on or failure to rep	ort 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 ea	ach file retired to t	he Federal Records Center.
Disposition:	Destroy when corresponding Medical	Case Files are de	stroyed.
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 Medic after issuance.	al Folder (EMF).	Destroy working copies
DispAuthNo:	N1-059-89-37, item 6	Date Edited:	4/1/1999

A-12-001-07	Y. Pay Films			
	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 inacti	ve 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 maintained.	which no previou	s parasitology case file is	
Disposition:	Destroy 30 days after date of report.			
DispAuthNo:	NN-171-170, item 3a	Date Edited:	7/25/2007	

A-12-001- 11a	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		
	<ul> <li>All laboratory and diagnostic test re case files.</li> </ul>	ports maintained	in the Parasitology Office
Disposition:	Destroy 1 year after date of separation	n of employee.	
DispAuthNo:	NN-171-170, item 3b	Date Edited:	7/25/2007
A-12-001-12	Contractor Medical Records		
Description:	a. Employment records requiring fitne medical histories, examinations, labor		
	(1) Maintenance contractors hired by	the Department fo	or overseas duty in Moscow.
Disposition:	Retire to NPRC St. Louis, Mo., 30 day destroy 75 years after birth date of em document in the folder if the date of bi latest separation, whichever is later.	ployee, 60 years a	after date of the earliest
DispAuthNo:	N1-059-89-37, item 11	Date Edited:	7/25/2007
A-12-001- 12a	Contractor Medical Records		
Description:	a. Employment records requiring fitne medical histories, examinations, labor		
	(2) Individual Contractor/Contracting I	Firm.	
Disposition:	Retire to NPRC St. Louis, Mo., 30 days after termination of contract if not turned over to individual or contracting firm at time of termination. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.		
	NOTE: Decision based on Departmen	t policy, rulings, te	erms of contract, etc.
DispAuthNo:	N1-059-89-37, item 11	Date Edited:	7/25/2007

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:	<ul> <li>a. Job-related. Vaccinations which are required as part of employment or current position.</li> </ul>		
Disposition:	File original report in Employee Mo after issuance.	edical Folder (EMF). Destroy working copies	
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	

# Chapter 12: Medical Services Records

#### 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 <b>Date Edited:</b> 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:	<ul> <li>b. Unsuccessful Applications for Contract Employment. Unsuccessful applications for contractual employment of physicians, nurses and laboratory technicians.</li> </ul>		
Disposition:	Destroy when 2 years old.		
DispAuthNo:	NN-166-005, item 9	Date Edited:	7/25/2007

A-12-002-04	Statistical Work Reports		
Description:	Consists of copies of work reports pr medical units.	epared for admini	strative office by various
Disposition:	Destroy 1 year after date of report.		
DispAuthNo:	NN-166-005, item 13	Date Edited:	7/25/2007

# Chapter 12: Medical Services Records

#### Administration and Claims

A-12-003-01	Authorization Files		
Description:	Files maintained for statistical reporting purposes concerning authorizations issued to Foreign Service employees and dependents for medical treatment, hospitalization, and/or medical consultation with outside sources.		
Disposition:	See sub sections 01a through 01c for specific dispositions		
DispAuthNo:	NN-166-005, item 15	Date Edited:	7/25/2007
A-12-003- 01a	Authorization Files		
Description:	a. Copy of Authorization for Medica	I Treatment (DS-50	69).
Disposition:	Destroy when 5 years old.		
DispAuthNo:	NN-166-005, item 15a	Date Edited:	7/25/2007
A-12-003- 01b	Authorization Files		
	Authorization Files b. Name card record for each emplo	oyee or dependent	t hospitalized.
01b			t hospitalized.
01b Description:	b. Name card record for each emplo		t hospitalized. 7/25/2007
01b Description: Disposition:	b. Name card record for each emplo Destroy 5 years after separation of e	employee.	
01b Description: Disposition: DispAuthNo: A-12-003-	b. Name card record for each emplo Destroy 5 years after separation of e NN-166-005, item 15b	employee. Date Edited:	7/25/2007
01b Description: Disposition: DispAuthNo: A-12-003- 01c	<ul> <li>b. Name card record for each employ</li> <li>Destroy 5 years after separation of e</li> <li>NN-166-005, item 15b</li> <li>Authorization Files</li> <li>c. Daily sheets arranged chronologi</li> </ul>	employee. Date Edited:	7/25/2007

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> <li>forms, reports, correspondence, claims (Forms CA-1 and CA-2)</li> <li>medical and investigatory records</li> <li>administrative determinations or court rulings</li> <li>payment records</li> </ul>			
	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	