

Section 9: Medical, Health, and Safety Records

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1	Bnl Site-Specific Records Retention Schedule Section 9: Medical, Health, And Safety Records Note: Records Marked With 'EPI' Are Under A Moratorium. These Records Are Not To Be Destroyed.					
2	Series Title	Description	9	Schedule	Cutoff	Retention
3	Accident And Injury Reports - Occupational	This series consists of reports of staff accidents that occurred on the job for the (list Dept/Div/Office). It contains information on the nature of the accident, root cause investigation, and remedial actions. It includes original record copies and verification copies used for administrative purposes and is kept for verification and auditing.	9	ADM-1.31	Calendar	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 75 years after cutoff.

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2	Series Title	Description	9	Schedule	Cutoff	Retention
4	Correspondence - Environmental Safety And Health	This series consists of correspondence and reports which may include, but is not limited to: [fill in your subject areas: ie. monthly reports, industrial safety concerns, As Low As Reasonably Achievable (ALARA) practices, instrumentation, and Environmental Protection and Radiological Assistance Program (RAP) correspondence. This series is used for administration and kept for reference and verification purposes.	9	ADM-16.1.5.____	Fiscal	<p>A. Correspondence files documenting the development and overall implementation and administration of plans and policies pertaining to the mission or functions for which the office has primary responsibility:</p> <p>Permanent. Cut off at the end of each fiscal year. transfer to NARA in 5 year blocks when most recent record is 25 years old.</p> <p>B. Correspondence files documenting the day to day operations and routine administration of established or new missions, policies, and procedures for which the office has primary responsibility:</p> <p>Cut off at the end of each fiscal year. Destroy 15 years after cutoff.</p>
5	Data - Calibration	This series consists of calibration data regarding fixed radiation monitoring equipment for air monitoring and air sampling. There are some records kept on portable radiation monitoring equipment as well. These are original, vital records, which according to 10 CFR 835 (Code of Federal Regulations) on occupational radiation protection, a duplicate copy must be kept in another location.	9	ADM-1.21.3.G.1.A	Calendar	Destroy when 75 years old.

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6	Employee Medical Records	These files consists of the medical records for all employees of Brookhaven National Laboratory. They include original records of any contact with employee (either by phone or in person). These contacts include visits to the clinic for personal reasons, yearly physicals and referrals. Telephone contacts with the employee are also recorded in these files. Occupational injuries, back to work slips, and restrictive duty forms may also be found in these files. Inactive records for the years 1946-53 are located in the Federal Records Center (FRC) and 1954-87 are in the BNL Records Holding Area. These are administrative records necessary for reference and auditing.	8	ADM-1.21.1.A	Calendar	Cut off file at time of separation. Transfer folds to the local federal records center. Destroy 75 years after cutoff.
7	Experimental Safety Review	This series consists of safety review documentation that demonstrate that control systems, materials control systems, and items that will be used in operations, have the capability for safe use. Items as used here include sites, facilities, structures, plants, materials, spent fuel, waste, machinery, equipment, and systems, or discrete parts thereof. This series may include, but is not limited to, meeting notices, minutes, agendas, attendee sheets, recommendations concerning conventional safety matters for experiments, copies of drawings relating to the safety review with mark ups on safety recommendations and concerns, and other related documentation. This series is used for administrative, safety, and authorization experimental purposes. It is kept for reference, verification, and auditing reasons.	9	ADM-18.35.1.B	Calendar	Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item's capability for safe operation. Destroy either upon an item's permanent removal from service, or upon permanent termination of the item's use, unless the documentation will be applicable to a replacement item.
8	Incident Reviews (Declared Minor Price Anderson Amendments Act (PAAA))	This series contains incident reports that have been reviewed for Price Anderson Amendments Act (PAAA) possible violation. They have been declared minor non-compliances based on PAAA criteria (10 CFR 830.120 / 10 CFR 835) and are considered non-reportable, but will be tracked internally. These reports are administrative in nature and are used for informational and reference purposes.	9	ADM-18.11.B	Fiscal	EPI - Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff. EPI - These records are under a moratorium. Do not destroy these records.

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2	Series Title	Description	9	Schedule	Cutoff	Retention
9	Occurrence Reports	This series contain reports documenting specific occurrences at BNL which violate quality, safety, operational procedures or which pose a quality, safety or operational threat. These are not original, not vital records because the originals are maintained in the DOE occurrence reporting system database. There are three (3) types of occurrences: emergency, off-normal, and unusual.	9	ADM-18.11.1.B	Fiscal	<p>EPI - Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff.</p> <p>EPI - These records are under a moratorium. Do not destroy these records.</p>
10	Personnel Radiation Exposure Dose Records (Film Badges)	These records document the periodic radiation doses measured on employees, visitors, and guests. Each employee or guest working in areas with ionizing radiation wear a film badge on the upper torso. Periodically the film badge is read and the radiation dose is calculated and recorded. The individual then receives a new film badge for the ensuing period.	9	ADM-21.5	Fiscal	Cut off at the end of the fiscal year and transfer to the National Personnel Records Center, St. Louis, Missouri. Destroy 75 years after cutoff.
11	Safety Analysis Reports (SAR)	This series consists of the Safety Analysis Reports (SAR) relating to a nuclear facility. These document the adequacy of safety analysis for a nuclear facility to ensure that the facility can be constructed, operated, maintained, shut down, and decommissioned safely and in compliance with applicable laws and regulations. Records may include document reviews of current and potential risks involved before work proceeds, specific safety analysis that pertains to specific activities related to the SAR, and Technical Safety Requirements (TSR) which is specific standards or regulations that pertain to the activity, site characteristics, facility descriptions, safety designs, facility hazard analysis and classification, health, and safety criteria, analysis of operations, institutional safety provisions, emergency preparedness, environmental issues, and other related subjects. These records should include the related DOE Safety Evaluation Reports. This series is kept for reference, verification, regulatory, and auditing purposes.	9	ENV-1.B.4.A	Calendar	Review annually. Cut off when superseded, obsolete, or cancelled. Destroy 75 years after cutoff.

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2	Series Title	Description	9	Schedule	Cutoff	Retention
12	Safety Analysis Reports (SAR)	This series consists of the Safety Analysis Reports (SAR) for the (list Dept/Div/Office/Facility) relating to the (name of Department/Non-Nuclear Facility) this report documents a process to provide systematic identification of hazards within a doe operation; to describe and analyze the adequacy of measures taken to eliminate, control, or mitigate identified hazards; and to analyze and evaluate potential accidents and their associated risks. It may contain environmental assessment documents. This series also fulfills federal requirements of the National Environmental Policy Act (NEPA). This series is kept for reference, verification, and regulatory purposes.	9	ENV-1.B.4.B	Calendar	Review annually. Cut off when superseded, obsolete, or cancelled. Destroy 75 years after cutoff.
13	Safety Assessment Document (SAD)	This series consists of the Safety Assessment Document (SAD), which is required for accelerator facilities. This document establishes requirements for preparing and reviewing information on identification of hazards and associated on-site and off-site impacts to workers, the public, and the environment; their elimination or control; assessment of risk; probability of occurrence; operational boundaries; and documented authorization from management of the operation. The SAD follows the same format and methodology as an Safety Analysis Report (SAR), but the level of hazards is lower. Documentation includes, but is not limited to, details of the analysis, review, and authorization relative to design, operation, and maintenance; prior SADs and preliminary assessments; quality assurance documentation; cover sheet with required signatures; minutes from committee meetings; the approval letter from the Associate Director for Safety; and the completed, approved SAD. This series is kept for reference, verification, regulatory, and auditing purposes.	9	ENV-1.B.4.B	Calendar	Review annually. Cut off when superseded, obsolete, or cancelled. Destroy 75 years after cutoff.

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2	Series Title	Description	9	Schedule	Cutoff	Retention
14	Sampling and Analysis Records	This series contains documentation generated during transport and receipt of field samples, sample movement in the laboratory, preparation for analysis, laboratory analyses output, raw and processed data, analytical results, reanalysis, quality control sample results, and instrument calibration data, and summaries of final results for each batch. Documents may include: chain of custody, analysis reports, validation and/or verification documentation.	9	ENV-5.C.1	Calendar	Destroy in 75 years.
15	Sampling Authorization Forms	This series contains copies of Chain of Custody forms to request radiological and chemical analyses. These forms document field sampling requirements generated to initiate and perform sampling and analysis activities. This series is used for research and development. It is kept for reference and verification.	9	ENV-5.B	Calendar	Destroy when 75 years old.
16	Work Planning And Control Low - Level Documentation	This series consists of ESH 1.3.6 work planning and control documentation. It includes the original, signed work permit form (BNL F3093A) completed up to the ratings section where the project is designated as low. Also included is the job tracking log, the (list Dept/Div/Office)'s control procedures which are updated yearly, and correspondence. This series is used to document risk analysis and work coordination. It is kept for reference, verification, and auditing purposes.	9	ADM-18.11.1.D	Calendar	Destroy one year after corrective action and closeout.
17	Work Planning And Control - Moderate/High Level Documentation	This series consists of ESH 1.3.6 work planning and control documentation for work projects rated as moderate or high and require a fully completed work permit (BNL F3093A). This series could include, but not limited to, the original, signed work permit forms, the job tracking log, and the (list Dept/Div/Office)'s control procedures which are updated yearly. This series is used to document risk analysis and work coordination. It is kept for reference, verification, and auditing purposes.	9	ADM-18.37	Calendar	Destroy 75 years after date of permit.

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2	Series Title	Description	9	Schedule	Cutoff	Retention
18	Workers Compensation And General Liability Cases	This series consists of original injury reports, updates from Occupational Medicine Clinic (OMC), correspondence with the Workers Compensation Board, copies of doctors bills, mileage reimbursement, C-11Lost Time Forms, employees' report of injured employees, change in employment status resulting from injury, timecard adjustment, C-25 Employers Report of Injury Form, and requests to the Brookhaven National Laboratory (BNL) insurance company for reimbursement.	9	ADM-1.31	Calendar	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 75 years after cutoff.