



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
9/30/20

PAGE NUMBER
1 of 6

NUMBER
DOC 890.200

POLICY

TITLE
EMPLOYEE OCCUPATIONAL HEALTH RECORDS

REVIEW/REVISION HISTORY:

Effective: 5/15/96
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Revised: 9/30/20

SUMMARY OF REVISION/REVIEW:

Policy Statement II., Directive III.B.1., and V.C. - Removed unnecessary language
III.A.2., III.B., and V.B. - Adjusted language for clarification


APPROVED:

Signature on file

STEPHEN SINCLAIR, Secretary
Department of Corrections

8/26/20

Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 42.56](#); [RCW 51](#); [RCW 70.02](#); [RCW 71.05.020](#); [WAC 296-27](#); [WAC 296-802](#); [WAC 296-842](#); [DOC 530.100 Volunteer Program](#); [DOC 810.010 Alcohol and Controlled Substance Testing for CDL Drivers](#); [DOC 830.200 Workers' Compensation/Transitional Return to Work Program](#); [DOC 850.150 Drug and Alcohol Free Workplace](#); [DOC 890.090 Respirator Program](#); [Records Retention Schedule](#); [WISHA Regional Directive 95-1](#)

POLICY:

- I. The Department will establish, maintain, disclose, and retain a confidential Employee Occupational Health Record (EOHR) for each employee in compliance with federal and state laws and regulations.
- II. The Department will establish and maintain records of volunteers consistent with DOC 530.100 Volunteer Program.

DIRECTIVE:

- I. Responsibility
 - A. Human Resources Managers or designees will serve as EOHR Custodian and:
 1. Create a new EOHR file for new employees at the time of employment.
 2. Maintain an EOHR file for each employee per this policy.
 3. Secure and control access to the files.
 4. Maintain confidentiality of EOHRs.
- II. Employee Occupational Health Records Contents
 - A. EOHR contents will include, but not be limited to:
 1. DOC 03-172 Hepatitis B Vaccine Consent/Waiver and Vaccination Record or equivalent document.
 2. DOC 03-216 Tuberculin Screening and follow up diagnostic and treatment reports.
 3. Results of drug/alcohol testing conducted per DOC 850.150 Drug and Alcohol Free Workplace and/or DOC 810.010 Alcohol and Controlled Substance Testing for CDL Drivers.
 4. Physical and psychological examination results (e.g., annual asbestos, hearing conservation) not part of a workers' compensation claim.

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5. Medical information required for reasonable accommodation.
6. Disability separation letter and all attachments.
7. Employee medical information provided for shared leave or family medical leave.
8. Sick leave verification documents containing medical information.
9. Ergonomic evaluations related to medical conditions.
10. DOC 03-219 Respirator Medical Evaluation Questionnaire after it has been reviewed by a Licensed Health Care Provider per DOC 890.090 Respirator Program.
11. Workers' compensation files related to blood and body fluid exposure.
12. DOC 03-497 Correctional Worker CORE Physician Statement for Participation.
13. Documents generated or received containing employee medical information and not part of a workers' compensation file.

B. The following documents will not become part of the EOHR unless they contain medical information:

1. Records concerning insurance claims.
2. Records created solely for litigation that are privileged from discovery.
3. Records concerning voluntary employee assistance programs.


C. Records containing personal health history information unrelated to employment will not be maintained in the EOHR.

D. Workers' compensation claim files for employees and volunteers will not become part of the EOHR, but will be maintained in a separate location per DOC 830.200 Workers' Compensation/Transitional Return to Work Program.


III. Disclosure of Employee Occupational Health Records

A. Requests for EOHR information from employees or their designated representatives will be answered per WAC 296-802 as well as state and federal laws. The EOHR Custodian will:

1. Respond to requests for disclosure.

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2. Provide a copy of the record to the employee or a representative designated by the employee without cost. Fees may be collected for additional copies provided.
 3. Stamp disclosed documents with the following statement:
 - a. "This document is strictly confidential and is for the information only of the person to whom it is provided/addressed. Federal rules prohibit you from making further disclosure of this information unless expressly permitted by law."
 4. Obtain written authorization from the employee, when required, to release the information.
 5. Log all requests/releases on DOC 03-232 Employee Occupational Health Records Disclosure Log.
- B. Persons other than the employee, a representative designated by the employee, or state employees engaged in their official duties may only have access to EOHR information when not prohibited by state or federal law.
1. Fees may be collected for copies of disclosed employee occupational health information.
- C. DOC 03-230 Employee Occupational Health Record (EOHR) Consent to Release/Disclosure Authorization will be completed prior to the release and/or disclosure of information by the EOHR Custodian, except for the following:
1. Supervisors will be informed of:
 - a. Necessary health-related restrictions on the work or duties of an employee, and of any necessary accommodations.
 - b. Health-related restrictions which might require emergency treatment, when appropriate, and of any specific procedures needed in the case of fire or other evacuation.
 2. Department of Labor and Industries may be provided relevant health information per RCW 51. Its inspectors should also be provided relevant health information, on request, when reviewing Department EOHRs for compliance with the Washington Industrial Safety and Health Act (WISHA).

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3. Government officials investigating compliance with the Americans with Disabilities Act and other federal and state laws prohibiting discrimination on the basis of disability.
 4. The Attorney General's Office will have access to EOHRs when conducting official state business.
 5. Health care providers who created a record in an EOHR, or their clinical supervisors in their chain of command, will have access to that record.
 6. Department health care providers who are licensed, certified, registered, or otherwise responsible for administering employee occupational health programs will have access to records that they are responsible to track.
- D. A certified receipt will be required when EOHR information is being released through the mail.

IV. Access to Information

- A. Only the Appointing Authority and the EOHR Custodian or designee will have unrestricted access to EOHRs.
- B. EOHR files will be maintained in locked cabinets separate from employee personnel files.
- C. When the EOHR Custodian's office is closed, access will be provided to EOHRs in medical emergencies, as determined by the Appointing Authority or Duty Officer, requiring specific health-related information. Routine requests to examine a file or to obtain other health information will be handled during normal business hours.

V. Retention of Employee Occupational Health Records

- A. When an employee transfers within the Department, the EOHR will move with the employee and be recorded on [OFM 12-011 Employee Payroll Records Transmittal](#).
- B. When an employee separates from the Department and requests that the EOHR be provided to a new employer, the EOHR Custodian will only provide the employee a copy of the EOHR.
- C. EOHRs of employees separated from the Department for more than one year will be retained per WAC 296-802-200. EOHR Custodians will ensure confidentiality and that appropriate records procedures are followed.

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- D. Medical, bloodborne pathogens, and employee exposure records will be preserved and maintained per the Records Retention Schedule.

VI. Other Health Records

- A. The Respirator Program Administrator will retain a copy of DOC 03-314 Licensed Health Care Provider (LHCP) Information and Response Sheet.
- B. Health records information will be maintained consistent with Department policies and confidentiality standards until they are completed and placed in the EOHR. This information includes incomplete:
- DOC 03-172 Hepatitis B Vaccine Consent/Waiver and Vaccination Record, and
 - DOC 03-216 Tuberculin Screening.

DEFINITIONS:

Words/terms appearing in the policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

[DOC 03-172 Hepatitis B Vaccine Consent/Waiver and Vaccination Record](#)

[DOC 03-216 Tuberculin Screening](#)

[DOC 03-219 Respirator Medical Evaluation Questionnaire](#)

[DOC 03-230 Employee Occupational Health Record \(EOHR\) Consent to Release/Disclosure Authorization](#)

[DOC 03-232 Employee Occupational Health Records Disclosure Log](#)

[DOC 03-314 Licensed Health Care Provider \(LHCP\) Information and Response Sheet](#)

[DOC 03-497 Correctional Worker CORE Physician Statement for Participation](#)